

Docket No.: GNE.3230R1C55

July 22, 2005

Page 1 of 1

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### RESPONSE TRANSMITTAL

Applicant : Goddard, et al.  
App. No : 10/063,581  
Filed : May 3, 2002  
For : SECRETED AND  
TRANSMEMBRANE POLYPEPTIDES  
AND NUCLEIC ACIDS ENCODING  
THE SAME  
Examiner : Chandra, Gyan  
Art Unit : 1646

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

July 22, 2005

(Date)  
  
Marc T. Morley, Reg. No. 52,051

#### Mail Stop Petition

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing in the above-identified application are the following enclosures:

- (X) **PETITION TO WITHDRAW HOLDING OF ABANDONMENT** in three (3) pages.
- (X) Petition Exhibits A-D
- (X) Return prepaid postcard.
- (X) Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Marc T. Morley  
Registration No. 52,051  
Attorney of Record  
Customer No. 30,313  
(619) 235-8550

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

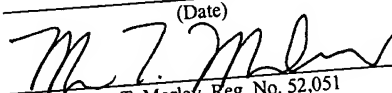
Applicant : Goddard, et al.  
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ACIDS ENCODING THE SAME  
Examiner : Chandra, Gyan  
Group Art Unit : 1647

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July 22, 2005

(Date)

  
Marc T. Morley, Reg. No. 52,051

PETITION TO WITHDRAW HOLDING OF ABANDONMENT  
UNDER 37 C.F.R. § 1.181(a)

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This is a petition requesting withdrawal of a holding of abandonment in the above-referenced application. The Notice of Abandonment, which was mailed on June 15, 2005, was mailed in error, and therefore, Applicants request withdrawal of the holding of abandonment and request that examination of the application be resumed.

In support of this petition, Applicants submit that the following statement of the facts:

1. On June 25, 2004, the U.S. Patent and Trademark Office ("the PTO") mailed a non-final Office Action ("June 25<sup>th</sup> Action") for U.S. Application No. 10/063,581. The three-month, extendible, due date for responding to the June 25<sup>th</sup> Action was September 25, 2004, and the six-month statutory due date was December 25, 2004.
2. On September 24, 2005, Applicants filed an Amendment and Response to Office Action with Exhibits 1-8 ("September 24<sup>th</sup> Amendment and Response"). The filing included an

Information Disclosure Statement (“IDS”), a check in the amount of \$130 necessary for a deletion of inventors, a postcard, and the other required filing papers. A copy of all of the papers filed on September 24, 2004 is provided herewith as **Petition Exhibit A**. Because Applicants’ September 24<sup>th</sup> Amendment and Response was mailed prior to the three-month due date, no extensions of time were required.

3. As mentioned above, the filing papers submitted with the September 24<sup>th</sup> Amendment and Response included a self addressed postcard, which listed the contents of the filing. A copy of the postcard as filed is included in **Petition Exhibit A**. The postcard was received back from the PTO on September 30, 2004 and showed that the September 24<sup>th</sup> Amendment and Response was received by the PTO on September 27, 2004. A copy of the postcard received back from the PTO is provided herewith as **Petition Exhibit B**.

4. The PTO received and cashed the \$130 check for the deletion of inventors that was included with the September 24<sup>th</sup> Amendment and Response. A copy of the deposited check is included herewith as **Petition Exhibit C**. The check was endorsed by the PTO on September 27, 2004 as evidenced by **Petition Exhibit C**.


5. On June 15, 2005, the Office mailed a Notice of Abandonment for U.S. Application No. 10/063,581, “for failure to timely file a proper reply to the Office letter mailed on 25 June 2004.” A copy of the Notice of Abandonment is attached herewith as **Petition Exhibit D**.

Based upon the above statement of facts, Applicants submit that the Notice of Abandonment mailed on June 15, 2005 was mailed in error because Applicants properly and timely responded to the June 25<sup>th</sup> Action. This is evidenced by the attached Petition Exhibits, which demonstrate that the PTO received the September 24<sup>th</sup> Amendment and Response. In light of the foregoing, Applicants respectfully request that the holding of abandonment be withdrawn. No fees are believed to be due for this Request under Rule 1.181; however, please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

If there is any impediment to the prompt withdrawal of the Holding of Abandonment, please call the undersigned attorney of record at the telephone number below so that any remaining issues can be promptly resolved.

Respectfully submitted,  
KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: July 22, 2005

By:   
Marc T. Morley  
Reg. No. 52,051  
Attorney of Record  
Customer No. 30,313  
(619) 235-8550



(amend/final amend/appeal)

Date: 1/24/04  
Date of Action: 6/25/04

Docket #: GNE-323DRIC55 Applicant: Boddard, et al.

Title: Secreted and transmembrane Peptides...

App No.: 10/063,581 Filed: 01 May 3, 2012

VERIFIED BY: Asst. SMH Atty: MTM/MTM QC: QC

- (7/14/03)

Qm

**AMENDMENT / RESPONSE TRANSMITTAL**

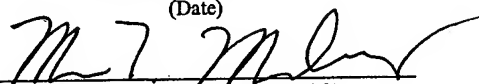
Applicant : Goddard, et al. (as amended)  
App. No. : 10/063,581  
Filed : May 3, 2002  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND  
NUCLEIC ACIDS ENCODING  
THE SAME  
Examiner : Kapust, Rachel B.  
Art Unit : 1647

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September 24, 2004

(Date)

  
Marc T. Morley, Reg. No. 52,051

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing in the above-identified application are the following enclosures:

- (X) AMENDMENT AND RESPONSE TO OFFICE ACTION in twenty-two (22) pages.

The fee has been calculated as shown below:


| FEE CALCULATION    |             |             |                      |            |
|--------------------|-------------|-------------|----------------------|------------|
| FEE TYPE           |             | FEE CODE    | CALCULATION          | TOTAL      |
| Total Claims       | 11 - 20 = 0 | 1202 (\$18) | 0 x 18 =             | \$0        |
| Independent Claims | 3 - 3 = 0   | 1201 (\$86) | 0 x 86 =             | \$0        |
|                    |             |             | <b>TOTAL FEE DUE</b> | <b>\$0</b> |

- (X) Exhibits 1-8 are enclosed.
- (X) An Information Disclosure Statement and PTO Form 1449 with one (1) reference are enclosed.
- (X) A check in the amount of \$130 is enclosed for payment of the deletion of inventors.
- (X) Return prepaid postcard.

Docket No.: GNE.3230R1C55

Customer No.: 30,313

- 
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- (X) Please use Customer No. 30,313 for the correspondence address.

  
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Marc T. Morley  
Registration No. 52,051  
Attorney of Record  
Customer No. 30,313  
(619) 235-8550

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

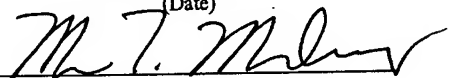
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Examiner : Kapust, Rachel B.  
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September 24, 2004.

(Date)

  
Marc T. Morley, Reg. No. 52,051

AMENDMENT AND RESPONSE TO OFFICE ACTION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed from the United States Patent and Trademark Office on June 25, 2004, Applicants submit the following amendments and remarks.

**Amendments to the Specification** begin on page 2 of this paper.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 4 of this paper.

**Deletion of Inventors** begins on page 8 of this paper.

**Remarks** begin on page 9 of this paper.

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Filed : May 3, 2002

### AMENDMENTS TO THE SPECIFICATION

**Please amend paragraph [0435], beginning at page 117, as follows:**

When a positive colony was isolated, a portion of it was picked by a toothpick and diluted into sterile water (30 µl) in a 96 well plate. At this time, the positive colonies were either frozen and stored for subsequent analysis or immediately amplified. An aliquot of cells (5 µl) was used as a template for the PCR reaction in a 25 µl volume containing: 0.5 µl ~~Klentaq~~ KLENTAQ (a 5'-exo minus N-terminal deletion of Taq DNA polymerase available from Clontech, Palo Alto, CA); 4.0 µl 10 mM dNTP's (Perkin Elmer-Cetus); 2.5 µl ~~Kentaq~~ KLENTAQ buffer (Clontech); 0.25 µl forward oligo 1; 0.25 µl reverse oligo 2; 12.5 µl distilled water. The sequence of the forward oligonucleotide 1 was:

**Please amend paragraph [0441], on page 119, as follows:**

Following the PCR, an aliquot of the reaction (5 µl) was examined by agarose gel electrophoresis in a 1% agarose gel using a Tris-Borate-EDTA (TBE) buffering system as described by Sambrook et al., supra. Clones resulting in a single strong PCR product larger than 400 bp were further analyzed by DNA sequencing after purification with a 96 ~~Qiaquick~~ QIAQUICK PCR clean-up column (Qiagen Inc., Chatsworth, CA)

**Please amend paragraph [0475], beginning on page 129 as follows:**

Twelve micrograms of the desired plasmid DNA is introduced into approximately 10 million CHO cells using commercially available transfection reagents ~~Superfect™ (Quiagen)~~ SUPERFECT™ (Qiagen), ~~desper™~~ DOSPER™ or ~~fugene™~~ FUGENE™ (Boehringer Mannheim). The cells are grown as described in Lucas et al., supra. Approximately  $3 \times 10^7$  cells are frozen in an ampule for further growth and production as described below.

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Please amend paragraph [0489] beginning on page 131 as follows:

Recombinant baculovirus is generated by co-transfecting the above plasmid and BaeuloGold™ BACULOGOLD™ virus DNA (Pharmingen) into *Spodoptera frugiperda* ("SF9") cells (ATCC CRL 1711) using lipofectin LIPOFECTIN cationic lipid (commercially available from GIBCO-BRL). After 4 - 5 days of incubation at 58°C, the released viruses are harvested and used for further amplifications. Viral infection and protein expression are performed as described by O'Reilley et al., Baculovirus expression vectors: A Laboratory Manual, Oxford: Oxford University Press (1994).

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### AMENDMENTS TO THE CLAIMS

1. (Currently amended) An isolated polypeptide having at least 80% amino acid sequence identity to:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72),~~ lacking its associated signal peptide; or

(c) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~

(d) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72),~~ lacking its associated signal peptide; or

(e) ~~the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112;~~

wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.

2. (Currently amended) The isolated polypeptide of Claim 1 having at least 85% amino acid sequence identity to:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72),~~ lacking its associated signal peptide; or

(c) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~

(d) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72),~~ lacking its associated signal peptide; or

(e) ~~the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112;~~

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wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.

3. (Currently amended) The isolated polypeptide of Claim 1 having at least 90% amino acid sequence identity to:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72),~~ lacking its associated signal peptide; or

(c) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~

(d) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72),~~ lacking its associated signal peptide; or

(e) ~~the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112;~~

wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.

4. (Currently amended) The isolated polypeptide of Claim 1 having at least 95% amino acid sequence identity to:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72),~~ lacking its associated signal peptide; or

(c) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~



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~~(d) — the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72), lacking its associated signal peptide; or~~

~~(e) — the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112;~~

wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.

5. (Currently amended) The isolated polypeptide of Claim 1 having at least 99% amino acid sequence identity to:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72), lacking its associated signal peptide; or~~

~~(c) the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~

~~(d) — the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72), lacking its associated signal peptide; or~~

~~(e) — the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112;~~

wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.

6. (Currently amended) An isolated polypeptide comprising:

(a) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72);~~

(b) the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72), lacking its associated signal peptide; or~~

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Filed : May 3, 2002

(c) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72);~~

(d) ~~the amino acid sequence of the extracellular domain of the polypeptide shown in Figure 72 (SEQ ID NO:72), lacking its associated signal peptide; or~~

(e) ~~the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112.~~

7. (Currently amended) The isolated polypeptide of Claim 6 comprising the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72).~~

8. (Currently amended) The isolated polypeptide of Claim 6 comprising the amino acid sequence of the polypeptide ~~shown in Figure 72 (of SEQ ID NO:72), lacking its associated signal peptide.~~

9. (Cancelled)

10. (Cancelled)

11. (Original) The isolated polypeptide of Claim 6 comprising the amino acid sequence of the polypeptide encoded by the full-length coding sequence of the cDNA deposited under ATCC accession number 203112.

12. (Original) A chimeric polypeptide comprising a polypeptide according to Claim 1 fused to a heterologous polypeptide.

13. (Original) The chimeric polypeptide of Claim 12, wherein said heterologous polypeptide is an epitope tag or an Fc region of an immunoglobulin.

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**Filed** : May 3, 2002

**DELETION OF INVENTORS**

Please correct the inventorship under 37 CFR §1.48(b) by removing the following inventors from the present application:

Dan L. Eaton, Ellen Filvaroff, Mary E. Gerritsen, and Colin K. Watanabe.

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Filed : May 3, 2002

### REMARKS

Upon entry of the foregoing amendments to the specification, the specification has been amended to capitalize trademarks. No new matter has been added by the amendments to the specification.

Also, upon entry of the foregoing claim amendments, Claims 1-8 and 11-13 are pending. Claims 1-8 have been amended to remove reference to the Figures. Claims 1-6 have been amended to remove reference to the "extracellular domains." Applicants have cancelled Claims 9 and 10 without prejudice to, or disclaimer of, the subject matter contained therein. Applicants maintain that the cancellation of a claim makes no admission as to its patentability and reserve the right to pursue the subject matter of the cancelled claim in this or any other patent application. Claims 1-5 have been amended to add the limitation that the claimed polypeptides are more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively. Applicants maintain that the amendments add no new matter and are fully supported by the specification as originally filed. For example, support for the amendments to Claims 1-5 can be found in Example 18 beginning at paragraph [0529], as well as paragraph [0336] of the specification.

Applicants respond below to the specific rejections raised by the PTO in the Office Action mailed June 25, 2004. For the reasons set forth below, Applicants respectfully traverse.

#### **Correction of Inventorship under 37 CFR §1.48(b)**

Applicant requests that several inventors be deleted, as these inventors' inventions are no longer being claimed in the present application as a result of prosecution. The fee as set forth in § 1.17(i) is submitted herewith.

#### **Priority Determination**

Applicants acknowledge that the PTO has granted the present application the priority date of August 24, 2000. Applicants note that the sequences of SEQ ID NOs: 71 and 72 were first disclosed as SEQ ID NOs: 1 and 2 in U.S. Provisional Application 60/096,757, filed August 17, 1998.

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### **Specification**

The disclosure was objected to by the PTO as containing trademarks which were not capitalized and did not include the generic terminology. The specification has been amended to include these changes.

### **Rejection under 35 U.S.C. §101 - Utility**

The Examiner rejects Claims 1-13 because allegedly the claimed polypeptides are not supported by a specific and substantial asserted utility or a well established utility.

Applicants respectfully disagree and submit that for the reasons stated below, the claimed polypeptides have a credible, substantial, and specific utility.

### **Utility Guidelines**

According to the Utility Examination Guidelines ("Utility Guidelines"), 66 Fed. Reg. 1092 (2001) an invention complies with the utility requirement of 35 U.S.C. § 101, if it has at least one asserted "specific, substantial, and credible utility" or a "well-established utility." A utility is "specific" when it is particular to the subject matter claimed. For example, it is generally not enough to state that a nucleic acid is useful as a diagnostic without also identifying the condition that is to be diagnosed.

The requirement of "substantial utility" defines a "real world" use, and derives from the Supreme Court's holding in *Brenner v. Manson*, 383 U.S. 519, 534 (1966) stating that "The basic *quid pro quo* contemplated by the Constitution and the Congress for granting a patent monopoly is the benefit derived by the public from an invention with substantial utility." In explaining the "substantial utility" standard, M.P.E.P. 2107.01 cautions, however, that Office personnel must be careful not to interpret the phrase "immediate benefit to the public" or similar formulations used in certain court decisions to mean that products or services based on the claimed invention must be "currently available" to the public in order to satisfy the utility requirement. "Rather, *any reasonable use that an applicant has identified for the invention that can be viewed as providing a public benefit should be accepted as sufficient*, at least with regard to defining a 'substantial' utility." (M.P.E.P. 2107.01, emphasis added.)

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Indeed, the Guidelines for Examination of Applications for Compliance with the Utility Requirement, set forth in M.P.E.P., 2107 II(B)(1) gives the following instruction to patent examiners: "If the (A)pplicant has asserted that the claimed invention is useful for any particular practical purpose ... and the assertion would be considered credible by a person of ordinary skill in the art, do not impose a rejection based on lack of utility."

Finally, the Utility Guidelines restate the Patent Office's long established position that any asserted utility has to be "credible." "Credibility is assessed from the perspective of one of ordinary skill in the art in view of the disclosure and any other evidence of record ... that is probative of the Applicant's assertions." (M.P.E.P. 2107 II(B)(1)(ii)). Such standard is presumptively satisfied unless the logic underlying the assertion is seriously flawed, or if the facts upon which the assertion is based are inconsistent with the logic underlying the assertion (Revised Interim Utility Guidelines Training Materials, 1999).

The evidentiary standard to be used throughout *ex parte* examination in setting forth a rejection is a preponderance of the totality of the evidence under consideration. *In re Oetiker*, 977 F.2d 1443, 1445, 24 USPQ2d 1443, 1444 (Fed. Cir. 1992). Thus, to overcome the presumption of truth based on an assertion of utility by the Applicant, the Examiner must establish that **it is more likely than not** that one of ordinary skill in the art would doubt the truth of the statement of utility. **Absolute predictability is not a requirement.** Only after the Examiner has made a proper *prima facie* showing of lack of utility, does the burden of rebuttal shift to the applicant. The issue will then be decided on the totality of evidence.

### **Credible, Specific and Substantial Utility**

*Applicants have established that the Gene Encoding the PRO1287 Polypeptide is Differentially Expressed in Certain Cancers compared to Normal Tissue and is Useful as a Diagnostic Tool*

The specification does disclose a credible, specific and substantial utility for the claimed polypeptides, which would be recognized by one of ordinary skill in the art. Example 18 shows that the nucleic acids encoding the PRO1287 polypeptide is more highly expressed in normal stomach tissue and kidney tumor tissue compared to stomach tumor tissue and normal kidney tissue, respectively. This data showing the differential expression between cancerous and non cancerous tissues demonstrates diagnostic utility for the gene, the claimed polypeptides, and the antibodies which bind the polypeptides.

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In support of the above-described utility as a credible and substantial utility, Applicants submit herewith as Exhibit 1 a first Declaration of J. Christopher Grimaldi, an expert in the field of cancer biology. The first Declaration of J. Christopher Grimaldi describes the techniques used to measure the levels of nucleic acids encoding PRO1287 in normal stomach and kidney tumor tissue and in stomach tumor and normal kidney tissue. As stated in Paragraph 6 of the first Declaration of J. Christopher Grimaldi, "Using the widely accepted technique of PCR, it was determined whether the polynucleotides tested were more highly expressed, less expressed, or whether expression remained the same in tumor tissue as compared to its normal counterpart. Because this technique relies on the visual detection of ethidium bromide staining of PCR products on agarose gels, it is reasonable to assume that any detectable differences seen between two samples will represent at least a two fold difference in cDNA." In Paragraph 7 of the first Declaration, Mr. Grimaldi further states that if a difference in mRNA levels is detected, "this indicates that the gene and its corresponding polypeptide and antibodies against the polypeptide are useful for diagnostic purposes, to screen samples to differentiate between normal and tumor." Applicants submit that such uses for the gene, the claimed polypeptides, and the corresponding antibodies, are credible and substantial.

*Applicants have Established that the Accepted Understanding in the Art is that there is a Direct Correlation between Comparative mRNA Levels and the Level of Expression of the Encoded Protein in Normal versus Cancerous Tissue*

As stated above, the standard for utility is not absolute certainty, but rather whether one of skill in the art would be more likely than not to believe the asserted utility. The working hypothesis among those skilled in the art is that there is a direct correlation between mRNA levels and protein levels.

Applicants submit herewith a copy of a second Declaration by J. Christopher Grimaldi, an expert in the field of cancer biology (attached as Exhibit 2). This declaration was submitted in connection with the related co-pending and co-owned application Serial No. 10/063,557. As stated in paragraph 5 of the declaration, "[t]hose who work in this field are well aware that in the vast majority of cases, when a gene is over-expressed...the gene product or polypeptide will also be over-expressed.... This same principal applies to gene under-expression." Further, "the detection of increased mRNA expression is expected to result in increased polypeptide

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expression, and the detection of decreased mRNA expression is expected to result in decreased polypeptide expression. The detection of increased or decreased polypeptide expression can be used for cancer diagnosis and treatment.” The references cited in the declaration and submitted herewith support this statement.

Applicants also submit herewith a copy of the declaration of Paul Polakis, Ph.D. (attached as Exhibit 3), an expert in the field of cancer biology, originally submitted in a related and co-owned patent application Serial No. 10/032,996. As stated in paragraph 6 of his declaration:

Based on my own experience accumulated in more than 20 years of research, including the data discussed in paragraphs 4 and 5 above [showing a positive correlation between mRNA levels and encoded protein levels in the vast majority of cases] and my knowledge of the relevant scientific literature, it is my considered scientific opinion that for human genes, an increased level of mRNA in a tumor cell relative to a normal cell typically correlates to a similar increase in abundance of the encoded protein in the tumor cell relative to the normal cell. In fact, *it remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.* (Emphasis added).

Dr. Polakis acknowledges that there are published cases where such a correlation does not exist, but states that it is his opinion that “such reports are exceptions to the commonly understood general rule that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.” (Polakis Declaration, paragraph 6).

Having compared the levels of mRNA and protein in both the tumor and normal cells analyzed, Dr. Polakis and his colleagues have found a very good correlation between mRNA and corresponding protein levels. Specifically, in approximately 80% of their observations they have found that increases in the level of a particular mRNA correlates with changes in the level of protein expressed from that mRNA. While the proper legal standard is to show that the existence of correlation between mRNA and polypeptide levels is more likely than not, the showing of approximately 80% correlation for the molecules tested in the Polakis Declaration greatly exceeds this legal standard. Based on these experimental data and his vast scientific experience of more than 20 years, Dr. Polakis states that, for human genes, increased mRNA levels typically correlate with an increase in abundance of the encoded protein. He further confirms that “it remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.”



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Additional references support this position. For example, Orntoft et al. (submitted herewith as Exhibit 4) studied transcript levels of 5600 genes in malignant bladder cancers which were linked to a gain/loss of chromosomal material using an array-based method. Orntoft et al. showed that there was a gene dosage effect and teach that "in general (18 of 23 cases) chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts" (see column 1, abstract). In addition, Hyman et al. (submitted herewith as Exhibit 5) showed, using CGH analysis and cDNA microarrays to compare DNA copy numbers and mRNA expression of over 12,000 genes in breast cancer tumors and cell lines, that there is "evidence of a prominent global influence of copy number changes on gene expression levels" (see page 6244, column 1, last paragraph). Additional supportive teachings are also provided by Pollack et al. (submitted herewith as Exhibit 6) who studied a series of primary human breast tumors and found that "...62% of highly amplified genes show moderately or highly elevated expression, that DNA copy number influences gene expression across a wide range of DNA copy number alterations (deletion, low-, mid- and high-level amplification), that on average, a 2-fold change in DNA copy number is associated with a corresponding 1.5-fold change in mRNA levels" (see column 1, abstract). Thus, these articles collectively teach that in general, there is a correlation between gene expression and mRNA expression.

Taken together, despite some teachings in the art of certain genes that do not fit within this paradigm which are exceptions rather than the rule, in the vast majority of cases, the combined teachings in the art, exemplified by Orntoft et al., Hyman et al. and Pollack et al. and the Grimaldi and Polakis declarations, overwhelmingly teach that gene expression influences mRNA expression and protein levels. Thus, one of skill in the art would reasonably expect, in this instance, based on the gene expression data for the PRO1287 gene, that the PRO1287 protein is concomitantly over-expressed in normal stomach tissue compared to stomach tumor tissue, and in kidney tumor tissue compared to normal kidney tissue. Thus, Applicants further submit that the PRO1287 protein and the antibodies against this protein have utility in the diagnosis of cancer and based on such a utility, one of skill in the art would know exactly how to use these molecules.

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*The Claimed Polypeptide would have Diagnostic Utility even if there is no Positive Correlation between Gene Expression and Expression of the Encoded Polypeptide*

Even assuming *arguendo* that there is no direct correlation between gene expression and protein expression for PRO1287, which Applicants submit is not true, a polypeptide encoded by a gene that is differentially expressed in cancer would **still** have a credible, specific and substantial utility.

In paragraph 6 of the Grimaldi Declaration, Exhibit 2, Mr. Grimaldi explains that:

However, even in the rare case where the protein expression does not correlate with the mRNA expression, this still provides significant information useful for cancer diagnosis and treatment. For example, if over- or under-expression of a gene product does not correlate with over- or under-expression of mRNA in certain tumor types but does so in others, then identification of both gene expression and protein expression enables more accurate tumor classification and hence better determination of suitable therapy.

This conclusion is echoed in the Declaration of Avi Ashkenazi, Ph.D. (attached as Exhibit 7), an expert in the field of cancer biology. This declaration was previously submitted in connection with co-pending application Serial No. 09/903,925. Applicants submit that simultaneous testing of gene expression and gene product expression enables more accurate tumor classification, even if there is no positive correlation between the two. This leads to better determination of a suitable therapy.

This is further supported by the teachings in the article by Hanna and Mornin, submitted herewith (attached as Exhibit 8). The article teaches that the HER-2/neu gene has been shown to be amplified and/or over-expressed in 10%-30% of invasive breast cancers and in 40-60% of intraductal breast carcinoma. Further, the article teaches that diagnosis of breast cancer includes testing both the amplification of the HER-2/neu gene (by FISH) as well as the over-expression of the HER-2/neu gene product (by IHC). Even when the protein is not over-expressed, the assay relying on both tests leads to a more accurate classification of the cancer and a more effective treatment of it.

Applicants have established that it is the general, accepted understanding in the art that there is a positive correlation between gene expression and protein expression. However, even when this is not the case, a polypeptide encoded by a gene that is differentially expressed in cancer would still have utility. Thus, Applicants have demonstrated another basis for supporting the asserted utility for the claimed polypeptides.

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### **Specific Utility**

Applicants assert that the above-discussed credible and substantial utilities are specific to the claimed PRO1287 peptides.

Specific Utility is defined as utility which is "specific to the subject matter claimed," in contrast to "a general utility that would be applicable to the broad class of the invention." M.P.E.P. § 2107.01 I. Applicants submit that the evidence of differential expression of the PRO1287 gene in certain types of cancer cells, along with the declarations discussed above, provide a specific utility for the claimed polypeptides.

As discussed above, there are significant data which show that the gene encoding the PRO1287 polypeptide is more highly expressed in normal stomach and kidney tumor tissue compared to stomach tumor and normal kidney tissue. These data are strong evidence that the PRO1287 polypeptide is associated with stomach and kidney cancer. Thus, contrary to the assertions of the PTO, Applicants submit that they have provided evidence associating the PRO1287 polypeptide with a specific disease. This is a specific utility – it is not a general utility that would apply to polypeptides/proteins generally.

### **Conclusion**

First, the Applicants provide a declaration stating that the data in Example 18 reporting higher expression of the PRO1287 gene in normal stomach and kidney tumor tissue compared to stomach tumor and normal kidney tissue, are real and significant. This declaration also indicates the data provide sufficient comparative and relative expression information and that given the relative difference in expression levels, the claimed polypeptides have utility as cancer diagnostic tools.

Next, Applicants have presented the declarations of two experts in the field along with supporting references which establish that the general, accepted view of those of skill in the art is that there is a direct correlation between mRNA levels and the encoded protein levels. Thus, one of skill in the art would find that it is more likely than not that the claimed polypeptide has utility as a diagnostic tool for cancer.

Applicants have also presented the declarations of two experts in the field, along with supporting references, which establish that even in the anomalous case where there is no positive

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correlation between gene expression and expression of the encoded protein, the simultaneous monitoring of both is useful for diagnosis and further classification of the cancer.

Finally, Applicants have pointed out that the substantial utilities described above are specific to the claimed polypeptides because PRO1287 is differentially expressed in certain cancer tissue compared to the corresponding normal tissue. This is not a general utility that would apply to the broad class of polypeptides.

As discussed below, Applicants provide herewith several expert opinions supporting the utility of the present invention. Applicants submit that one of ordinary skill in the art would have no legitimate basis to doubt the credibility of the statements made by Mr. Grimaldi, Dr. Polakis and Dr. Ashkenazi and must treat as true the statements made by these experts. Applicants remind the Examiner that "Office personnel must accept an opinion from a qualified expert that is based upon relevant facts whose accuracy is not being questioned; it is improper to disregard the opinion solely because of a disagreement over the significance or meaning of the facts offered." PTO Utility Examination Guidelines (2001).

Thus, given the totality of the evidence provided, Applicants submit that they have established a substantial, specific, and credible utility for the claimed polypeptides as a diagnostic agent. According to the PTO Utility Examination Guidelines (2001), irrefutable proof of a claimed utility is not required. Rather, a specific, substantial, and credible utility requires only a "reasonable" confirmation of a real world context of use. Applicants submit that they have established that it is more likely than not that one of skill in the art would reasonably accept the utility for the claimed polypeptides set forth in the specification. Applicants believe that they have met their burden of establishing a specific and substantial credible utility for the claimed invention. Accordingly, Applicants respectfully request that the rejection under 35 U.S.C. §101 be withdrawn.

In view of the above, Applicants respectfully request that the PTO reconsider and withdraw the utility rejection under 35 U.S.C. §101.

**Rejections under 35 U.S.C. § 112, second paragraph**

The Examiner has rejected Claims 1-6 and 10 under 35 U.S.C. § 112, second paragraph, as being indefinite. The Examiner objects arguing that the phrase "extracellular domain ...

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lacking its associated signal peptide" is indefinite as a signal sequence is not generally considered to be part of an extracellular domain.

As mentioned above, Claims 1-6 have been amended to remove reference to "extracellular domain." The instant rejection is moot in view of the amended claims. Therefore, reconsideration and withdrawal of the rejection under § 112, second paragraph.

**Rejections under 35 U.S.C. § 112, first paragraph – Enablement**

The Examiner rejected Claims 1-13 under 35 U.S.C. § 112, first paragraph. According to the Examiner, because the claimed invention is not supported by either a substantial asserted utility or a well established utility, one of skill in the art would not know how to use the invention. The Examiner also argues that the specification does not reasonably provide enablement for the identity variants of the PRO1287 polypeptide, noting that there is no functional limitation in the claims.

Applicants submit that in the discussion of the 35 U.S.C. § 101 rejection above, Applicants have established a substantial, specific, and credible utility for the claimed polypeptides. Specifically, the claimed polypeptides have utility in the diagnosis of the specific diseases, stomach and kidney cancer. Also, as set forth above, Claims 1-5 have been amended to recite the functional limitation "wherein said isolated polypeptide is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively." Thus, the specification teaches how to make and use the claimed subject matter. Specifically, the specification describes how to make the claimed polypeptides and how to assay for the claimed function in the variant polypeptides. Based upon that teaching and the above-established utility for the claimed subject matter, one skilled in the art would know how to make and use the claimed subject matter.

Applicants therefore request that the Examiner reconsider and withdraw the enablement rejection under 35 U.S.C. § 112, first paragraph, based on a lack of utility.

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**Rejections under 35 U.S.C. § 112, first paragraph – Written Description**

The Examiner asserts that Claims 1-5 and 12-13 contain subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventors, at the time the application was filed, had possession of the claimed invention. In particular, the Examiner asserts that the percent identity claims “do not require that the encoded polypeptide possess any particular biological activity, nor any particular conserved structure, or other disclosed distinguishing feature.” Therefore, according to the Examiner, “the claims are drawn to a genus of polypeptides that is defined only by sequence identity.”

Applicants have amended the claims to provide that the claimed polypeptides are “more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively, or wherein said isolated polypeptide is encoded by a polynucleotide that is more highly expressed in normal stomach tissue or kidney tumor tissue compared to stomach tumor or normal kidney tissue, respectively.” Accordingly, Applicants maintain that the claims recite sufficient distinguishing characteristics for the claimed genus of polypeptides. Based on the detailed description of the cloning and expression of variants of PRO1287 in the specification, the description of the gene expression assay, the actual reduction to practice of sequences SEQ ID NOs: 71 and 72, and the functional recitation in the instant claims, Applicants submit that one of skill in the art would recognize that Applicants possessed the invention as claimed in the instant claims. Hence, Applicants respectfully request that the PTO reconsider and withdraw the written description rejection under 35 U.S.C. §112.

**Rejections under 35 U.S.C. § 102(a) – Anticipation**

The Examiner also rejects Claim 1 as anticipated under 35 U.S.C. § 102(a) by Osada *et al.* (NCBI Accession No. BAB03554, August 1, 2000) (hereinafter Osada). The Examiner argues that Osada discloses a polypeptide that is 97% identical to residues 1-453 of SEQ ID NO:72, and 83% identical to the full sequence of SEQ ID NO:72. Applicants respectfully assert that Osada does not anticipate any of the claims for the reasons set forth below.

Osada, discloses only the amino acid sequence, but no information regarding the function or utility of the disclosed peptide. Therefore, Osada does not anticipate Claim 1, because Claim 1 is entitled to an earlier priority date, specifically **August 17, 1998**. As discussed above, Applicants claim priority to US Provisional Application 60/096,757, filed August 17, 1998. The

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sequences of SEQ ID NOs: 71 and 72 were first disclosed in Figures 1 and 2 (SEQ ID NOs:1-2), respectively, of that priority provisional application. As the August 17, 1998 date precedes the date of Osada, August 1, 2000, Applicants have shown possession of the claimed sequence prior to Osada.

The well-established "Stempel Doctrine" stands for the proposition that a patent applicant can effectively swear back of and remove a cited prior art reference by showing that he or she made that portion of the claimed invention that is disclosed in the prior art reference. (*In re Stempel*, 113 USPQ 77 (CCPA 1957)). In other words, a patent applicant need not demonstrate that he or she made the entire claimed invention in order to remove a cited prior art reference. He or she need only demonstrate prior possession of that portion of his or her claimed invention that is disclosed in the prior art reference and nothing more.

The Stempel Doctrine was extended to cases where a reference disclosed the claimed compound but failed to disclose a sufficient utility for it in *In re Moore*, 170 USPQ 260 (CCPA 1971). More specifically, the patent applicant (Moore) claimed a specific chemical compound called PFDC. In support of a rejection of the claim under 35 U.S.C. § 102, the Examiner cited a reference which disclosed the claimed PFDC compound, but did not disclose a utility for that compound. Applicant Moore filed a declaration under 37 C.F.R. § 1.131 demonstrating that he had made the PFDC compound before the effective date of the cited prior art reference, even though he had not yet established a utility for that compound. The lower court found the 131 declaration ineffective to swear back of and remove the cited reference, reasoning that since Moore had not established a utility for the PFDC compound prior to the effective date of the cited prior art reference, he had not yet completed his "invention".

On appeal, however, the CCPA reversed the lower court decision and indicated that the 131 declaration filed by Moore was sufficient to remove the cited reference. The CCPA relied on the established Stempel Doctrine to support its decision, stating:

An applicant need **not** be required to show [in a declaration under 37 C.F.R. § 1.131] any more acts with regard to the subject matter claimed that can be carried out by one of ordinary skill in the pertinent art following the description contained in the reference....the determination of a practical utility when one is not obvious need **not** have been accomplished prior to the date of a reference unless the reference also teaches how to use the compound it describes. (*Id.* at 267, emphasis added).

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Thus, *In re Moore* confirms the Stempel Doctrine, holding that in order to effectively remove a cited reference with a declaration under 37 C.F.R. § 1.131, an applicant need only show that portion of his or her claimed invention that appears in the cited reference. Moreover, *In re Moore* stands for the proposition that when a cited reference discloses a claimed chemical compound either absent a utility or with a utility that is different from the one appearing in the claims at issue, a patent applicant can effectively swear back of that reference by simply showing prior possession of the claimed chemical compound. In other words, under this scenario, the patent applicant need not demonstrate that he or she had discovered a patentable utility for the claimed chemical compound prior to the effective date of the prior art reference.

While these cases discuss the ability to effectively swear back of the cited reference by way of a 131 declaration, Applicants submit that the same reasoning applies here, where the application claims priority back to a disclosure that predates the cited references. Osada discloses an amino acid sequence with some identity to SEQ ID NO:72. Osada discloses sequence information, but no function or utility information. Thus, Osada discloses nothing more than a sequence with some identity to SEQ ID NO:72. Applicants demonstrated, by means of the disclosure in their provisional application filed August 17, 1998, that they were in possession of so much of the claimed invention, i.e. SEQ ID NO:72, as disclosed in the Osada reference dated August 1, 2000. Thus, Applicants respectfully submit that the cited reference is not available as prior art, and request that the rejection under 35 USC §102 be withdrawn.

Even if Osada were available as prior art, it does not anticipate Claim 1. To anticipate under 35 U.S.C. § 102, "the reference must also enable one of skill in the art to make and use the claimed invention." *Bristol-Myers Squibb Co. v. Ben Venue Labs., Inc.*, 246 F.3d 1368, 1374 (Fed. Cir. 2001). As discussed above, Osada discloses only an amino acid sequence with 83% identity to SEQ ID NO:72. This disclosure in no way enables one to use the isolated polypeptide of Claim 1 because it provides no utility or functional information. Thus, even if Osada were available as prior art, which it is not, it does not anticipate the claimed invention. Applicants therefore respectfully request that the rejection under 35 USC §102(a) be withdrawn.

#### **Rejections under 35 U.S.C. § 103(a) – Obviousness**

The Examiner also rejects Claims 12-13 as being obvious under 35 U.S.C. § 103(a) over Osada in view of U.S. Patent No. 5,639,597 (the '597 patent). According to the Examiner,



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Osada does not teach chimeric polypeptides as recited in Claims 12 and 13. However, the Examiner argues that the '597 patent teaches fusion proteins according to Claims 12-13. Applicants respectfully assert that Osada does not make any of the claims obvious for the reasons set forth below.

As discussed above, Osada is not available as prior art against the claimed invention under § 102, and therefore is not prior art under § 103. As discussed above in the response to the rejection under 35 U.S.C. § 102(a), Applicants are entitled to priority to U.S. Provisional Application No. 60/096,757, filed August 17, 1998, which application disclosed at least as much of the claimed subject matter as Osada. The provisional application includes the disclosure of the full length sequence of SEQ ID NOS: 71 and 72. As the August 17, 1998 date precedes the date of Osada, August 1, 2000, Applicants have shown possession of the claimed subject matter prior to Osada. Thus, Applicants respectfully submit that Osada is not available as prior art, and request that the rejections under 35 USC §103(a) be withdrawn.

### **Conclusion**

The present application is believed to be in condition for allowance, and an early action to that effect is respectfully solicited. Applicants invite the Examiner to call the undersigned if any issues may be resolved by telephone.

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 9/24/04

By: M. T. Morley  
Marc T. Morley  
Registration No. 52,051  
Attorney of Record  
Customer No. 30,313  
(619) 235-8550

**INFORMATION DISCLOSURE STATEMENT**

|                |   |
|----------------|---|
| Applicant      | : Goddard, et al. (as amended)  |
| App. No.       | : 10/063,581  |
| Filed          | : May 3, 2002   |
| For            | : SECRETED AND TRANSMEMBRANE<br>POLYPEPTIDES AND NUCLEIC ACIDS<br>ENCODING THE SAME |
| Examiner       | : Kapust, Rachel B.   |
| Group Art Unit | : 1647  |

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing one (1) reference. That reference is not enclosed, as the PTO-1449 is only being provided to correct a typographical error in the patent number from the previous IDS which was filed September 9, 2002.

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: \_\_\_\_\_

9/24/04

By: \_\_\_\_\_

Marc T. Morley  
Registration No. 52,051  
Attorney of Record  
Customer No. 30,313  
(619) 235-8550

|   |  |   |                               |
|---|--|---|-------------------------------|
| FORM PTO-1449   | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.<br>GNE.3230R1C55         | APPLICATION NO.<br>10/063,581 |
| <b>INFORMATION DISCLOSURE STATEMENT<br/>BY APPLICANT</b><br><br>(USE SEVERAL SHEETS IF NECESSARY) |  | APPLICANT<br>Goddard, et al. (as amended) |                               |
|   |  | FILING DATE<br>May 3, 2002                | GROUP<br>1647                 |

| U.S. PATENT DOCUMENTS |    |                 |          |        |       |          |                                 |
|-----------------------|----|-----------------|----------|--------|-------|----------|---------------------------------|
| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE     | NAME   | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|                       | 1. | 5,536,637       | 07/16/97 | Jacobs |       |          |                                 |
|                       |    |                 |          |        |       |          |                                 |
|                       |    |                 |          |        |       |          |                                 |
|                       |    |                 |          |        |       |          |                                 |
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| FOREIGN PATENT DOCUMENTS |  |                 |      |         |       |          |             |    |
|--------------------------|--|-----------------|------|---------|-------|----------|-------------|----|
| EXAMINER<br>INITIAL      |  | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|                          |  |                 |      |         |       |          | YES         | NO |
|                          |  |                 |      |         |       |          |             |    |
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| EXAMINER<br>INITIAL | OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.) |  |
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|--|-----------------|
| EXAMINER   | DATE CONSIDERED |
| *EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT. |                 |

**EXHIBIT 1**

GNE.3230R1C39

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                |   |  |
|----------------|---|--|
| Applicant      | : | Eaton, et al.  |
| Appl. No.      | : | 10/063,557   |
| Filed          | : | May 2, 2002  |
| For            | : | SECRETED AND<br>TRANSMEMBRANE<br>POLYPEPTIDES AND NUCLEIC<br>ACIDS ENCODING THE SAME |
| Examiner       | : | David J. Blanchard   |
| Group Art Unit | : | 1642   |

**DECLARATION OF J. CHRISTOPHER GRIMALDI, UNDER 37 CFR §1.132**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, J. Christopher Grimaldi, declare and state as follows:

1. I am a Senior Research Associate in the Molecular Biology Department of Genentech, Inc., South San Francisco, CA 94080.
2. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
3. I joined Genentech in January of 1999. From 1999 to 2003, I directed the Cloning Laboratory in the Molecular Biology Department. During this time I directed or performed numerous molecular biology techniques including semi-quantitative Polymerase Chain Reaction (PCR) analyses. I am currently involved, among other projects, in the isolation of genes coding for membrane associated proteins which can be used as targets for antibody therapeutics against cancer. In connection with the above-identified patent application, I personally performed or directed the semi-quantitative PCR gene expression analyses in the assay entitled "Tumor Versus Normal Differential Tissue Expression Distribution," which is described in EXAMPLE 18 in the specification. These studies were used to identify differences in gene expression between tumor tissue and their normal counterparts.
4. EXAMPLE 18 reports the results of the PCR analyses conducted as part of the investigating of several newly discovered DNA sequences. This process included developing

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Filed : May 2, 2002

primers and analyzing expression of the DNA sequences of interest in normal and tumor tissues. The analyses were designed to determine whether a difference exists between gene expression in normal tissues as compared to tumor in the same tissue type.

5. The DNA libraries used in the gene expression studies were made from pooled samples of normal and of tumor tissues. Data from pooled samples is more likely to be accurate than data obtained from a sample from a single individual. That is, the detection of variations in gene expression is likely to represent a more generally relevant condition when pooled samples from normal tissues are compared with pooled samples from tumors in the same tissue type.

6. In differential gene expression studies, one looks for genes whose expression levels differ significantly under different conditions, for example, in normal versus diseased tissue. Thus, I conducted a semi-quantitative analysis of the expression of the DNA sequences of interest in normal versus tumor tissues. Expression levels were graded according to a scale of +, -, and +/- to indicate the amount of the specific signal detected. Using the widely accepted technique of PCR, it was determined whether the polynucleotides tested were more highly expressed, less expressed, or whether expression remained the same in tumor tissue as compared to its normal counterpart. Because this technique relies on the visual detection of ethidium bromide staining of PCR products on agarose gels, it is reasonable to assume that any detectable differences seen between two samples will represent at least a two fold difference in cDNA.

7. The results of the gene expression studies indicate that the genes of interest can be used to differentiate tumor from normal. The precise levels of gene expression are irrelevant; what matters is that there is a relative difference in expression between normal tissue and tumor tissue. The precise type of tumor is also irrelevant; again, the assay was designed to indicate whether a difference exists between normal tissue and tumor tissue of the same type. If a difference is detected, this indicates that the gene and its corresponding polypeptide and antibodies against the polypeptide are useful for diagnostic purposes, to screen samples to differentiate between normal and tumor. Additional studies can then be conducted if further information is desired.

8. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By:

  
J. Christopher Grimaldi

Date:

8/10/2004

## **J. Christopher Grimaldi**

1434-36<sup>th</sup> Ave.  
San Francisco, CA 94122  
(415) 681-1639 (Home)

### **EDUCATION**

University of California, Berkeley  
Bachelor of Arts in Molecular Biology, 1984

### **EMPLOYMENT EXPERIENCE**

#### **SRA**

Genentech Inc., South San Francisco; 1/99 to present

Previously, was responsible to direct and manage the Cloning Lab. Currently focused on isolating cancer specific genes for the Tumor Antigen (TAP), and Secreted Tumor Protein (STOP) projects for the Oncology Department as well as Immunologically relevant genes for the Immunology Department. Directed a lab of 6 scientists focused on a company-wide team effort to identify and isolate secreted proteins for potential therapeutic use (SPDI). For the SPDI project my duties were, among other things, the critically important coordination of the cloning of thousands of putative genes, by developing a smooth process of communication between the Bioinformatics, Cloning, Sequencing, and Legal teams. Collaborated with several groups to discover novel genes through the Curagen project, a unique differential display methodology. Interacted extensively with the Legal team providing essential data needed for filing patents on novel genes discovered through the SPDI, TAP and Curagen projects. My group has developed, implemented and patented high throughput cloning methodologies that have proven to be essential for the isolation of hundreds of novel genes for the SPDI, TAP and Curagen projects as well as dozens of other smaller projects.

#### **Scientist**

DNAX Research Institute, Palo Alto; 9/91 to 1/99

Involved in multiple projects aimed at understanding novel genes discovered through bioinformatics studies and functional assays. Developed and patented a method for the specific depletion of eosinophils in vivo using monoclonal antibodies. Developed and implemented essential technical methodologies and provided strategic direction in the areas of expression, cloning, protein purification, general molecular biology, and monoclonal antibody production. Trained and supervised numerous technical staff.

#### **Facilities**

##### **Manager**

Corixa, Redwood City; 5/89 - 7/91.

Directed plant-related activities, which included expansion planning, maintenance, safety, purchasing, inventory control, shipping and receiving, and laboratory management. Designed and implemented the safety program. Also served as liaison to regulatory agencies at the local, state and federal level. Was in charge of property leases, leasehold improvements, etc. Negotiated vendor contracts and directed the purchasing department. Trained and supervised personnel to carry out the above-mentioned duties.

SRA

University of California, San Francisco  
Cancer Research Institute; 2/87-4/89.

Was responsible for numerous cloning projects including: studies of somatic hypermutation, studies of AIDS-associated lymphomas, and cloning of t(5;14), t(11;14), and t(8;14) translocations. Focused on the activation of hemopoietic growth factors involved in the t(5;14) translocation in leukemia patients..

Research  
Technician

Berlex Biosciences, South San Francisco; 7/85-2/87.

Worked on a subunit porcine vaccine directed against *Mycoplasma hyopneumoniae*. Was responsible for generating genomic libraries, screening with degenerate oligonucleotides, and characterizing and expressing clones in *E. coli*. Also constructed a general purpose expression vector for use by other scientific teams.

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Division into Peripheral Monoclonal, Polyclonal and Central Nervous System Lymphoma." AIDS, Vol. 5, 669-674, 1991

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#### MANUSCRIPTS IN PREPARATION

1. Sriram Balasubramanian, J. Christopher Grimaldi, J. Fernando Bazan, Gerard Zurawski and Manreen Howard. "Structural and functional characterization of CD38: Identification of active site residues"

#### PATENTS

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2. "Amplification Based Cloning Method." (US 6,607,899)
3. Ashkenazi et al., "Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same." (this patent covers several hundred genes)
4. "IL-17 Homologous Polypeptides and Therapeutic Uses Thereof"
5. "Method of Diagnosing and Treating Cartilaginous Disorders."

#### MEMBERSHIPS AND ACTIVITIES

Editor                      Frontiers in Bioscience

Member                    DNAX Safety Committee 1991-1999  
                              Biological Safety Affairs Forum (BSAF) 1990-1991  
                              Environmental Law Foundation (ELF) 1990-1991

**EXHIBIT 2**

GNE.3230R1C39

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                |   |  |
|----------------|---|--|
| Applicant      | : | Eaton, et al.  |
| Appl. No.      | : | 10/063,557   |
| Filed          | : | May 2, 2002  |
| For            | : | SECRETED AND<br>TRANSMEMBRANE<br>POLYPEPTIDES AND NUCLEIC<br>ACIDS ENCODING THE SAME |
| Examiner       | : | David J. Blanchard   |
| Group Art Unit | : | 1642   |

**DECLARATION OF J. CHRISTOPHER GRIMALDI, UNDER 37 C.F.R. § 1.132**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, J. Christopher Grimaldi, declare and say as follows:

1. I am a Senior Research Associate in the Molecular Biology Department of Genentech, Inc., South San Francisco, CA 94080.

2. I joined Genentech in January of 1999. From 1999 to 2003, I directed the Cloning Laboratory in the Molecular Biology Department. During this time I directed or performed numerous molecular biology techniques including qualitative Polymerase Chain Reaction (PCR) analyses. I am currently involved in, among other projects, the isolation of genes coding for membrane associated proteins which can be used as targets for antibody therapeutics against cancer. In connection with the above-identified patent application, I personally performed or directed the semi-quantitative PCR analyses in the assay entitled "Tumor Versus Normal Differential Tissue Expression Distribution" which is described in EXAMPLE 18 in the specification that were used to identify differences in gene expression between tumor tissue and their normal counterparts.

3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).

4. In differential gene expression studies, one looks for genes whose expression levels differ significantly under different conditions, for example, in normal versus diseased tissue.

Appl. No. : 10/063,557  
Filed : May 2, 2002

Chromosomal aberrations, such as gene amplification, and chromosomal translocations are important markers of specific types of cancer and lead to the aberrant expression of specific genes and their encoded polypeptides, including over-expression and under-expression. For example, gene amplification is a process in which specific regions of a chromosome are duplicated, thus creating multiple copies of certain genes that normally exist as a single copy. Gene under-expression can occur when a gene is not transcribed into mRNA. In addition, chromosomal translocations occur when two different chromosomes break and are rejoined to each other chromosome resulting in a chimeric chromosome which displays a different expression pattern relative to the parent chromosomes. Amplification of certain genes such as Her2/Neu [Singleton *et al.*, Pathol. Annu., 27Pt1:165-190], or chromosomal translocations such as t(5;14), [Grimaldi *et al.*, Blood, 73(8):2081-2085(1989); Meeker *et al.*, Blood, 76(2):285-289(1990)] give cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy. When the chromosomal aberration results in the aberrant expression of a mRNA and the corresponding gene product (the polypeptide), as it does in the aforementioned cases, the gene product is a promising target for cancer therapy, for example, by the therapeutic antibody approach.

5. Comparison of gene expression levels in normal versus diseased tissue has important implications both diagnostically and therapeutically. For example, those who work in this field are well aware that in the vast majority of cases, when a gene is over-expressed, as evidenced by an increased production of mRNA, the gene product or polypeptide will also be over-expressed. It is unlikely that one identifies increased mRNA expression without associated increased protein expression. This same principle applies to gene under-expression. When a gene is under-expressed, the gene product is also likely to be under-expressed. Stated in another way, two cell samples which have differing mRNA concentrations for a specific gene are expected to have correspondingly different concentration of protein for that gene. Techniques used to detect mRNA, such as Northern Blotting, Differential Display, *in situ* hybridization, quantitative PCR, Taqman, and more recently Microarray technology all rely on the dogma that a change in mRNA will represent a similar change in protein. If this dogma did not hold true then these techniques would have little value and not be so widely used. The use of mRNA quantitation techniques have identified a seemingly endless number of genes which are differentially expressed in various tissues and these genes have subsequently been shown to have correspondingly similar changes in their protein levels. Thus, the detection of increased mRNA expression is expected to result in increased polypeptide expression, and the detection of decreased mRNA expression is expected to result in decreased polypeptide expression. The detection of increased or decreased polypeptide expression can be used for cancer diagnosis and treatment.

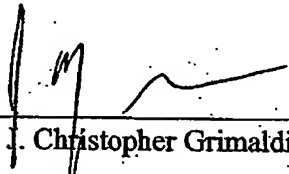
6. However, even in the rare case where the protein expression does not correlate with the mRNA expression, this still provides significant information useful for cancer diagnosis and treatment. For example, if over- or under-expression of a gene product does not correlate with over- or under-expression of mRNA in certain tumor types but does so in others, then identification of both gene expression and protein expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over- or

Appl. No. : 10/063,557  
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under-expression of the gene product in the presence of a particular over- or under-expression of mRNA is crucial information for the practicing clinician. For example, if a gene is over-expressed but the corresponding gene product is not significantly over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By:



J. Christopher Grimaldi

Date:

8/10/2001

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071904

## **J. Christopher Grimaldi**

1434-36<sup>th</sup> Ave.  
San Francisco, CA 94122  
(415) 681-1639 (Home)

### **EDUCATION**

University of California, Berkeley  
Bachelor of Arts in Molecular Biology, 1984

### **EMPLOYMENT EXPERIENCE**

#### **SRA**

Genentech Inc., South San Francisco; 1/99 to present

Previously, was responsible to direct and manage the Cloning Lab. Currently focused on isolating cancer specific genes for the Tumor Antigen (TAP), and Secreted Tumor Protein (STOP) projects for the Oncology Department as well as Immunologically relevant genes for the Immunology Department. Directed a lab of 6 scientists focused on a company-wide team effort to identify and isolate secreted proteins for potential therapeutic use (SPDI). For the SPDI project my duties were, among other things, the critically important coordination of the cloning of thousands of putative genes, by developing a smooth process of communication between the Bioinformatics, Cloning, Sequencing, and Legal teams. Collaborated with several groups to discover novel genes through the Curagen project, a unique differential display methodology. Interacted extensively with the Legal team providing essential data needed for filing patents on novel genes discovered through the SPDI, TAP and Curagen projects. My group has developed, implemented and patented high throughput cloning methodologies that have proven to be essential for the isolation of hundreds of novel genes for the SPDI, TAP and Curagen projects as well as dozens of other smaller projects.

#### **Scientist**

DNAX Research Institute, Palo Alto; 9/91 to 1/99

Involved in multiple projects aimed at understanding novel genes discovered through bioinformatics studies and functional assays. Developed and patented a method for the specific depletion of eosinophils in vivo using monoclonal antibodies. Developed and implemented essential technical methodologies and provided strategic direction in the areas of expression, cloning, protein purification, general molecular biology, and monoclonal antibody production. Trained and supervised numerous technical staff.

#### **Facilities**

##### **Manager**

Corixa, Redwood City; 5/89 - 7/91.

Directed plant-related activities, which included expansion planning, maintenance, safety, purchasing, inventory control, shipping and receiving, and laboratory management. Designed and implemented the safety program. Also served as liaison to regulatory agencies at the local, state and federal level. Was in charge of property leases, leasehold improvements, etc. Negotiated vendor contracts and directed the purchasing department. Trained and supervised personnel to carry out the above-mentioned duties.

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#### MEMBERSHIPS AND ACTIVITIES

Editor                      Frontiers in Bioscience

Member                    DNAX Safety Committee 1991-1999  
                              Biological Safety Affairs Forum (BSAF) 1990-1991  
                              Environmental Law Foundation (ELF) 1990-1991



# The t(5;14) Chromosomal Translocation in a Case of Acute Lymphocytic Leukemia Joins the Interleukin-3 Gene to the Immunoglobulin Heavy Chain Gene

By J. Christopher Grimaldi and Timothy C. Meeker

Chromosomal translocations have proven to be important markers of the genetic abnormalities central to the pathogenesis of cancer. By cloning chromosomal breakpoints one can identify activated proto-oncogenes. We have studied a case of B-lineage acute lymphocytic leukemia (ALL) that was associated with peripheral blood eosinophilia. The chromosomal translocation t(5;14) (q31;q32) from this sample was cloned and studied at the molecular level. This

translocation joined the immunoglobulin heavy chain joining (Jh) region to the promotor region of the interleukin-3 (IL-3) gene in opposite transcriptional orientations. The data suggest that activation of the IL-3 gene by the enhancer of the immunoglobulin heavy chain gene may play a central role in the pathogenesis of this leukemia and the associated eosinophilia.

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**KARYOTYPIC STUDIES** of leukemia and lymphoma have identified frequent nonrandom chromosomal translocations. Some of these translocations juxtapose the immunoglobulin heavy chain (IgH) gene with important

protooncogenes, such as *c-myc* and *bcl-2*.<sup>1,2</sup> In this way, the IgH gene can activate proto-oncogenes, resulting in disordered gene expression and a step in the development of cancer. The investigation of additional nonrandom translocations into the IgH locus allows us to identify new genes promoting the generation of leukemia and lymphoma.

A distinct subtype of acute lymphocytic leukemia (ALL) has been characterized by B-lineage phenotype, associated eosinophilia in the peripheral blood, and a t(5;14)(q31;q32) chromosomal translocation.<sup>3,4</sup> This syndrome probably occurs in <1% of all patients with ALL. We hypothesized that the cloning of the translocation characteristic of this leukemia might allow the identification of an important gene on chromosome 5 that plays a role in the evolution of this disease. In this report we demonstrate that the interleukin-3 gene (IL-3) and the IgH gene are joined by this translocation.

## MATERIALS AND METHODS

**Sample and DNA blots.** A bone marrow aspirate from a representative patient with ALL (L1 morphology by French-American-British [FAB] criteria), peripheral eosinophilia (up to 20,000 per microliter with a normal value of <350 per microliter) and a t(5;14)(q31;q32) translocation was studied. Using published methods, genomic DNA was isolated and DNA blots were made.<sup>5</sup> Briefly, 10 µg of high molecular weight (mol wt) DNA were digested using an appropriate restriction enzyme and electrophoresed on a 0.8% agarose gel. The gel was stained with ethidium bromide, photographed, denatured, neutralized, and transferred to Hybond (Amersham, Arlington Heights, IL). After treatment of the filter with ultraviolet light, hybridization was performed. The filter was washed to a final stringency of 0.2% saturated sodium citrate (SSC) and 0.1% sodium lauryl sulfate (SDS) and exposed to film. The human Jh probe has been previously reported.<sup>6</sup>

**Genomic library.** The genomic library was made using pub-

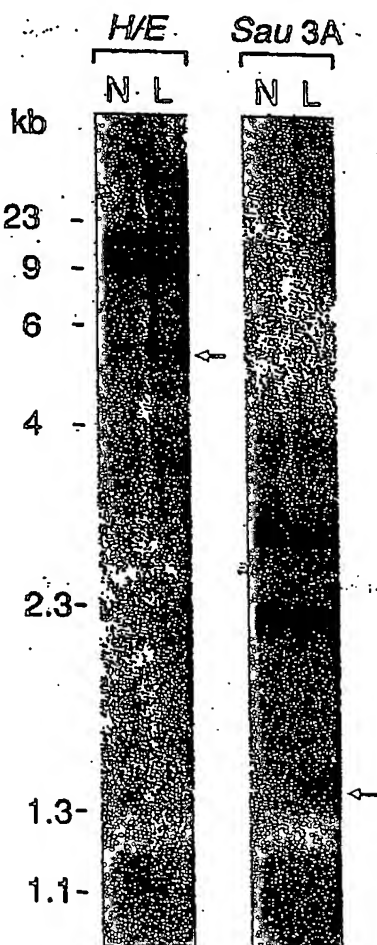


Fig 1. DNA blots of the leukemia sample. The restriction fragment pattern of normal human DNA (N) and the leukemia sample (L) were compared using a human Jh probe. Rearranged bands are indicated by arrows. Sample L exhibits a single rearranged band with both *Hind III*/*EcoRI* and *Sau3A* restriction digests. The rearranged bands are less intense than the other bands because the majority of cells in the sample represent normal bone marrow elements.

From the Division of Hematology/Oncology, Department of Medicine, University of California, San Francisco.

Submitted February 22, 1989; accepted March 8, 1989.

Supported by NIH Grant No. CA01102.

Address reprint requests to Timothy C. Meeker, MD, UCSF/ VAMC 111H, 4150 Clement St, San Francisco, CA 94121.

Dr Grimaldi's current address is Biostan Inc, 440 Chesapeake Dr, Seaport Centre, Redwood City, CA 94063.

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lished methods.<sup>3</sup> Approximately 100  $\mu$ g of high mol wt genomic DNA were partially digested with the *Sau*3A restriction enzyme. Fragments from 9 to 23 kilobases (kb) in size were isolated on a sucrose gradient and ligated into phage HMBL3A (Stratagene, San Diego). Recombinant phage were packaged, plated, and screened as previously reported.<sup>3</sup>

**DNA sequencing.** Fragments for sequencing were cloned into M13 vectors and sequenced by the chain termination method using Sequenase (United States Biochemical, Cleveland).<sup>7</sup> All sequence data were derived from both strands.

### RESULTS

We studied a bone marrow sample from a patient with ALL and associated peripheral eosinophilia. Karyotypic analysis showed the characteristic t(5;14)(q31;q32) translocation. These features define a distinctive subtype of ALL.<sup>10</sup> The leukemic cells were analyzed for cell surface phenotype by immunofluorescence. They were positive for B1 (CD20), B4 (CD19), CALLA (CD10), HLA-DR, and terminal deoxynucleotidyl transferase (Tdt), but negative for surface immunoglobulin. This phenotypic profile describes an immature cell from the B-lymphocytic lineage.<sup>9</sup>

The leukemia DNA was analyzed by Southern blotting for rearrangements of the IgH gene. Using a human immunoglobulin Jh probe, a single rearranged band was detected by *Eco*RI, *Hind*III, *Sst*I, *Sau*3A, and *Eco*RI plus *Hind*III restriction digests, suggesting rearrangement of one allele (Fig 1). The immunoglobulin Jh region from the other allele was presumably either deleted or in the germline configuration.

We hypothesized that the t(5;14)(q31;q32) juxtaposed a

growth-promoting gene on chromosome 5 with the immunoglobulin Jh region on chromosome 14. Therefore, a genomic library was made from the leukemic sample and screened with a Jh probe. Fifteen distinct positive clones were isolated and screened for the presence of the rearranged *Sau*3A fragment that was detected by DNA blotting. By this analysis, five clones appeared to represent the rearranged allele identified by DNA blots. One of these clones (clone no. 4) was chosen for further study and a detailed restriction map was generated. The *Eco*RI, *Hind*III/*Eco*RI, and *Sst*I fragments from clone no. 4 that hybridized to the human Jh probe were also identical in size to the rearranged fragments from the leukemia sample, confirming that clone no. 4 represented the rearranged leukemic allele.

Phage clone no. 4 contained 3.7 kb of unknown origin joined to the IgH gene in the region of Jh4 (Fig 2). The IgH gene from Jh4 to the C $\mu$  region appeared to be in germline configuration. Previously, the gene encoding hematopoietic growth factor IL-3 had been mapped to chromosome 5q31 so it was suspected that clone no. 4 might contain part of this gene.<sup>11-13</sup> When the restriction map of human IL-3 and clone no. 4 were compared, they were identical for more than 3 kb (Fig 2).

We confirmed the juxtaposition of the IL-3 gene and the IgH gene by nucleic acid sequencing of the subcloned *Bst*II/*Hpa*I fragment (Fig 2). The sequence of this fragment showed no disruption of the protein coding region or the messenger RNA of the IL-3 gene. The break in the IL-3 gene occurred in the promoter region, 452 base pairs (bp) upstream of the transcriptional start site (position 64, Fig

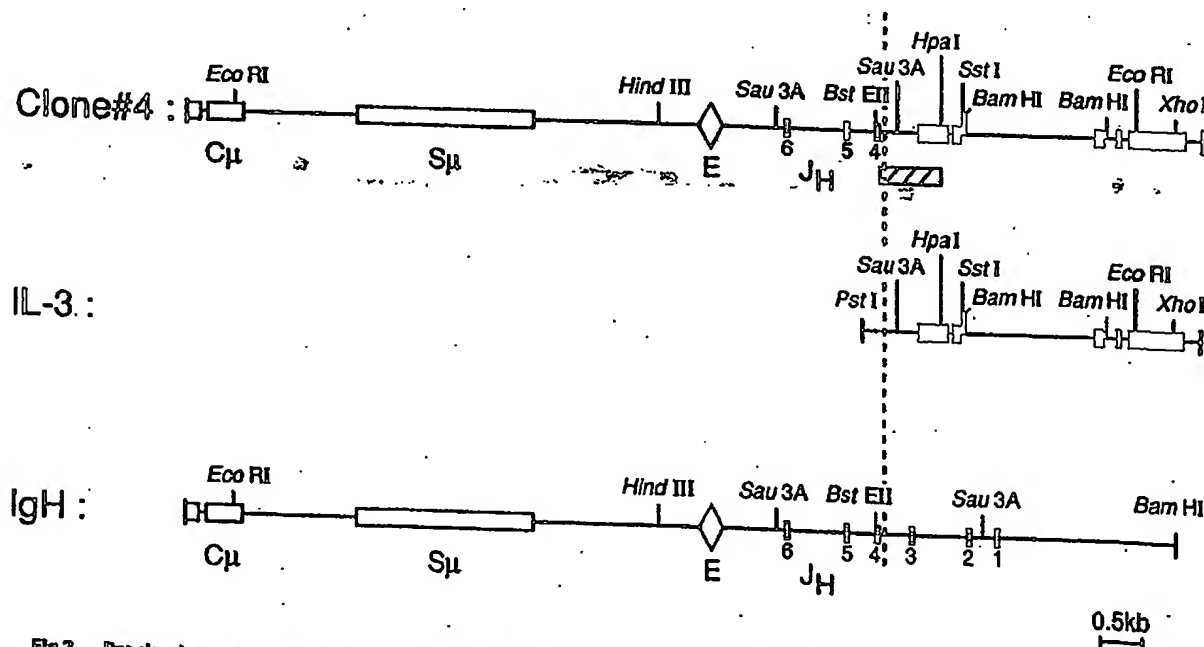


Fig 2. Breakpoint region: t(5;14)(q31;q32). Comparative mapping of phage clone no. 4, the germline IgH region, and the germline IL-3 gene.<sup>11,12</sup> The map of clone no. 4 is identical to that of IgH until it diverges in the region of Jh4 (at the dashed line), after which it is identical to the map of IL-3. The two genes are positioned in a head-to-head orientation. The Ig  $\mu$  chain constant region (C $\mu$ ), switch region (S $\mu$ ), hatched box indicates the sequenced region. The five exons (dark boxes) and four introns of the IL-3 gene are shown. The

3A). The break in the IgH gene occurred 2 bp upstream of the Jh4 region. Between the two breaks, 25 bp of uncertain origin (putative N sequence) were inserted.<sup>19,20</sup> No sequences homologous to the immunoglobulin heptamer and nonamer could be identified in the IL-3 sequence (Fig 3B). Therefore, nucleic acid sequencing confirmed the juxtaposition of the IL-3 gene and the IgH gene. The sequence data clearly showed that the genes were positioned in opposite transcriptional orientations (head-to-head).

Available data also allowed us to determine the normal positions of the IL-3 gene and the GM-CSF gene in relation to the centromere of chromosome 5 (Fig 4). The IgH gene is known to be positioned with the variable regions toward the telomere on chromosome 14q.<sup>21</sup> It has also been shown that

GM-CSF maps within 9 kb of IL-3 in the same transcriptional orientation.<sup>16</sup> Using this information and assuming a simple translocation event in our sample, we can conclude that the IL-3 gene is normally more centromeric, and the GM-CSF gene more telomeric on chromosome 5q (Fig 4). Furthermore, both are transcribed with their 5' ends toward the centromere.

#### DISCUSSION

In this report we have cloned a unique chromosomal translocation that appears to be a consistent feature of a rare, yet distinct, clinical form of acute leukemia. This translocation joined the promoter of the IL-3 gene to the IgH gene. Except for the altered promoter, the IL-3 gene appeared

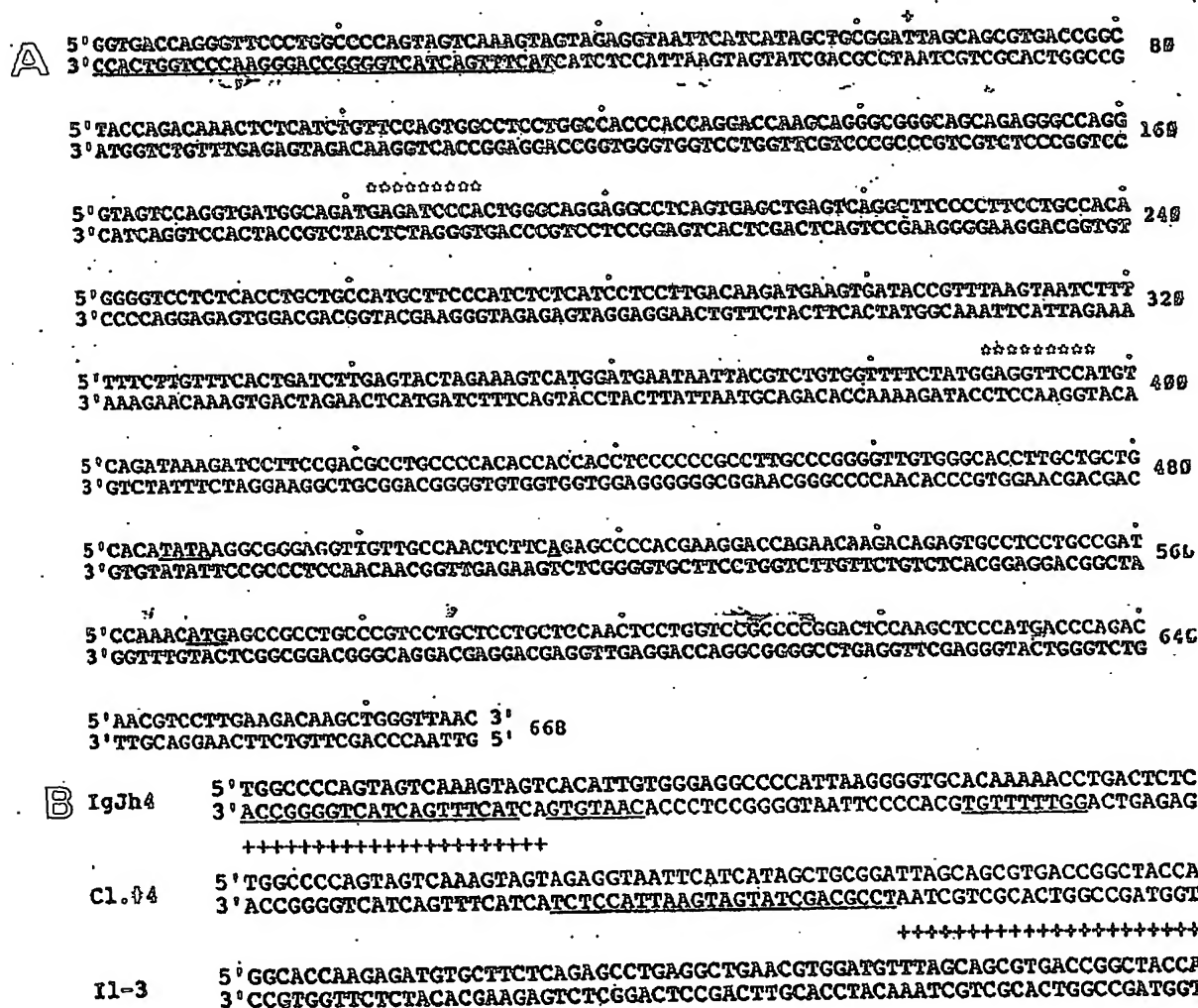


Fig 3. Sequence of t(5;14)(q31;q32) breakpoint region. (A) Nucleotide sequence of the *Bst*II/*Hpa*I fragment indicated on Fig 2. Nucleotides 1 to 36 represent the Jh4 coding region underlined on the coding strand.<sup>9</sup> Nucleotides 39 to 63 are a putative R region. The sequence from position 64 to 668 is that of the germ-line IL-3 gene.<sup>22</sup> The IL-3 TATA box (485), transcription start (515), and initiation methionine (557) are underlined. Two proposed regulatory sequences in the promoter are marked by asterisks (positions 182 and 385). (B) Comparative sequence of the t(5;14)(q31;q32) breakpoint region. The IgH4 region is shown with its coding region, heptamer, and nonamer underlined. Clone no. 4 is shown with putative R region sequences underlined. The IL-3 sequence is also shown. A plus sign (+) denotes the identical nucleotide between sequences. Its heptamer or nonamer is identified in the IL-3 sequence.

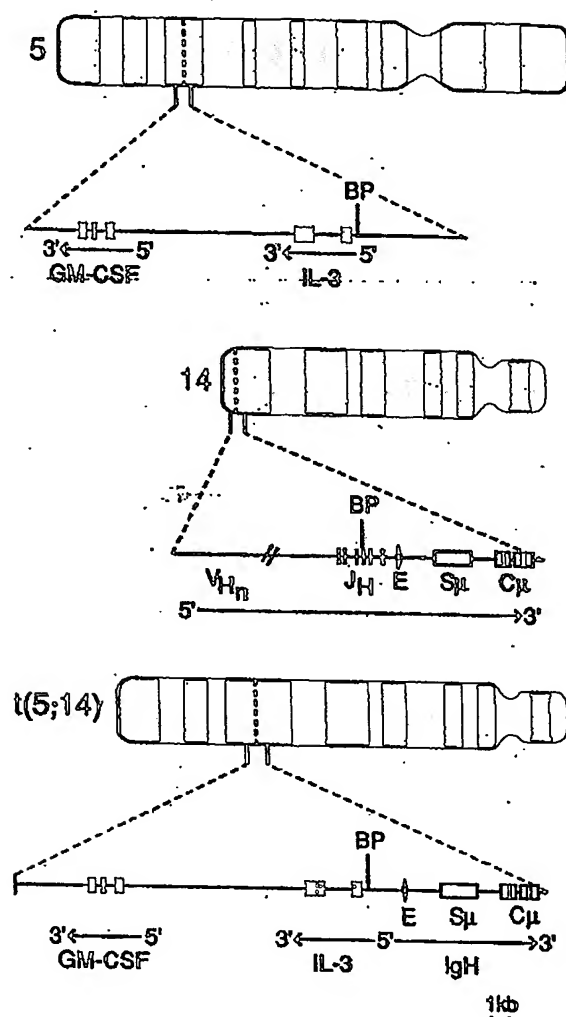


Fig 4. Diagram of the translocation. The normal chromosome 5q31 is shown with the GM-CSF gene telomeric to the IL-3 gene in the transcriptional orientation shown. On normal chromosome 14q32 the Vh regions are telomeric. The t(5;14)(q31;q32) translocation results in the head-to-head orientation of these genes. Symbols are defined in Fig 2. BP, breakpoint position.

intact as no deletions, insertions, or point mutations were detected by restriction mapping of the entire gene and sequencing of part of the gene. The IgH gene has been truncated at the Jh4 region, which places the immunoglobulin enhancer within 2.5 kb of the IL-3 gene.<sup>17,18</sup> This leads to the hypothesis that the enhancer is increasing transcription of a structurally normal IL-3 gene. The same mechanism is important for activation of the c-myc gene in some cases of Burkitt's lymphoma.<sup>19</sup> An alternate hypothesis is that the elimination of an upstream IL-3 promoter element is crucial to the activation of the IL-3 gene.

The proposed activation of the IL-3 gene suggests that an autocrine loop is important for the pathogenesis of this leukemia.<sup>20</sup> Over-expression of the IL-3 gene coupled with

the presence of the IL-3 receptor in these cells could account for a strong stimulus for proliferation. In this regard, there are data indicating that immature B-lineage lymphocytes and B-lineage leukemias may express the IL-3 receptor.<sup>21,22</sup>

An additional feature of this type of leukemia is the dramatic eosinophilia, consisting of mature forms. It has been hypothesized that the eosinophils do not arise from the malignant clone, but are stimulated by the tumor.<sup>23,24</sup> Because of the known effect of IL-3 on eosinophil differentiation, secretion of high levels of IL-3 by leukemic cells might have a role in the eosinophilia in this type of leukemia.<sup>12</sup>

The data suggest that the recombination mechanism that is active in the IgH gene during normal differentiation has a role in this translocation.<sup>13,14</sup> This is supported by the breakpoint location at the 5' end of Jh4 and the presence of putative N-region sequences. On the other hand, no recombination signal sequences (heptamer and nonamer) was found in this region on chromosome 5, suggesting that additional factors also played a role. Further studies will elucidate the mechanism of this and other translocations.

In the leukemia we studied, it is possible that the immunoglobulin enhancer also activates the GM-CSF gene, since this gene is probably positioned only 14 kb away (Fig 4). This is known to be within the range of enhancer activation.<sup>25</sup> The interleukin-5 (IL-5) gene maps to chromosome 5q31.<sup>26</sup> Deregulation of the IL-5 gene by this translocation would act synergistically with IL-3 in the stimulation of eosinophil proliferation and differentiation.<sup>27</sup> These and other questions will be answered by the study of more patient samples. We plan to determine whether the t(5;14)(q31;q32) translocation is capable of activating multiple lymphokines simultaneously and whether they cooperate in the generation of this leukemia.

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## RAPID COMMUNICATION

# Activation of the Interleukin-3 Gene by Chromosome Translocation in Acute Lymphocytic Leukemia With Eosinophilia

By Timothy C. Meeker, Dan Hardy, Cheryl Willman, Thomas Hogan, and John Abrams

The t(5;14)(q31;q32) translocation from B-lineage acute lymphocytic leukemia with eosinophilia has been cloned from two leukemia samples. In both cases, this translocation joined the IgH gene and the Interleukin-3 (IL-3) gene. In one patient, mature IL-3 mRNA was produced by the leukemic cells. In the second patient, serum IL-3 levels were measured and shown to correlate with disease

activity. There was no evidence of excess granulocyte/macrophage colony stimulating factor (GM-CSF) or IL-5 expression. Our data support the formulation that this subtype of leukemia may arise in part because of a chromosome translocation that activates the IL-3 gene, resulting in autocrine and paracrine growth effects.  
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A NUMBER OF chromosome translocations have been associated with human leukemia and lymphoma. In many cases the study of these translocations has led to the discovery or characterization of proto-oncogenes, such as *bcl-2*, *c-abl*, and *c-myc*, that are located adjacent to the translocation.<sup>1,2</sup> It is now widely understood that cancer-associated translocations disrupt nearby proto-oncogenes.

A distinct subtype of acute leukemia is characterized by the triad of B-lineage immunophenotype, eosinophilia, and the t(5;14)(q31;q32) translocation.<sup>3,4</sup> Leukemic cells from such patients have been positive for terminal deoxynucleotidyl transferase (Tdt), common acute lymphoblastic leukemia antigen (CALLA), and CD19, but negative for surface or cytoplasmic immunoglobulin. In previous work, we cloned the t(5;14) breakpoint from one leukemic sample (Case 1) and determined that the IgH and interleukin-3 (IL-3) genes were joined by this abnormality.<sup>5</sup> In this report, we extend those findings by showing that the t(5;14)(q31;q32) translocation from a second leukemia sample (Case 2) has a similar structure, and we report our study of growth factor expression in these patients.

## MATERIALS AND METHODS

**Samples and Southern blots.** Case 1 has been described.<sup>5,6</sup> Clinical features of Case 2 have been described in detail.<sup>7</sup> DNA isolation and Southern blotting was done using previously described methods.<sup>8</sup> Filters were hybridized with an immunoglobulin Jh probe, a 280 bp *Bam*HI/*Eco*RI genomic IL-3 fragment, and an IL-3 cDNA probe.<sup>10</sup>

**Northern blots.** RNA isolation and Northern blotting have been described.<sup>9</sup> Briefly, Northern blots were done by separating 9 µg total RNA on 1% agarose-formaldehyde gels. Equal RNA loading in each lane was confirmed by ethidium bromide staining. Blots were hybridized with an IL-3 cDNA probe extending to the *Xho*I site in exon 5, a 720 bp *Sst*I/*Kpn*I probe derived from intron 2 of the IL-3 gene, a 600 bp *Nhe*I/*Hpa*I IL-5 cDNA probe, and a 500 bp *Pst*I/*Nco*I granulocyte-macrophage colony stimulating factor (GM-CSF) cDNA probe.<sup>10-12</sup>

**Polymerase chain reaction.** Primers were designed with *Bam*HI sites for cloning. One primer hybridized to the Jh sequences from the IgH gene (Primer 144: 5'-TAGGATCCGACGGTGACCAGGGT), and the other hybridized to the region of the TATA box in the IL-3 gene (Primer 161: 5'-AACAGGATCCCGCCTTATATGTGCAO). Polymerase chain reaction (PCR) (95°C for 1 minute, 61°C for 30 seconds, and 72°C for 3 minutes) was done using 500 ng genomic DNA and 50 pmol of each primer in 100 µL containing 67 mmol/L Tris-HCl pH 8.8, 6.7 mmol/L MgCl<sub>2</sub>, 10% dimethyl sulfoxide (DMSO), 170 µg/mL bovine serum albumin (BSA) (fraction V),

16.6 mmol/L ammonium sulfate, 1.5 mmol/L each dNTP and Taq polymerase (Perkin-Elmer, Norwalk, CT).<sup>13</sup>

**Sequencing.** Sequencing was done by chain termination in M13 vectors.<sup>14</sup> As part of this study, we sequenced a subclone of a normal IL-3 promoter, covering 598 base pairs from a *Sma*I site at position -1240 (with respect to the proposed site of transcription initiation) to an *Nhe*I site at position -642. The plasmid containing this region was a gift from Naoko Arai of the DNAX Research Institute.

**Expression in Cos7 cells.** A genomic IL-3 fragment from Case 1 was cloned into the pCM expression vector.<sup>15</sup> Briefly, the *Hind*III/*Sac*I fragment containing the IL-3 gene was subcloned from the previously described phage clone 4 into pUC18.<sup>5</sup> The 2.6 kb fragment extending from the *Sma*I site 61 bp upstream of the IL-3 transcription start to the *Sma*I site in the polylinker was cloned into the blunted *Xho*I site of pCM. The negative control construct was the pCM vector without insert. Plasmids were introduced into Cos7 cells by electroporation, and supernatant was collected after 48 hours in culture.

**TF1 bioassay.** TF-1 cells were passaged in RPMI 1640 supplemented with 10% heat-inactivated fetal bovine serum, 2 mmol L-glutamine, and 1 ng/mL human GM-CSF.<sup>16</sup> Samples and antibodies were diluted in this same medium lacking GM-CSF but containing penicillin and streptomycin. A 25 µL volume of serial dilutions of patient serum was added to wells in a flat bottom 96-well microtiter plate. Rat anti-cytokine monoclonal antibody in a volume of 25 µL was added to appropriate wells and preincubated for 1 hour at 37°C. Fifty microliters of twice washed TF-1 cells were added to each well, giving a final cell concentration of  $1 \times 10^4$  cells per well (final volume, 100 µL). The plate was incubated for 48 hours. The remaining cell viability was determined metabolically by the color-

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Fig 3. Documentation of IL-3 mRNA over-expression. A Northern blot was prepared and hybridized with a probe for IL-3. Lane 1 contained RNA from unstimulated peripheral blood lymphocytes (PBL) as a negative control. Lane 2 contained RNA from PBL stimulated for 48 hours with concanavalin A (ConA), and lane 3 contained RNA from PBL stimulated with ConA for 48 hours. As in the positive control lanes (2 and 3), a 1 kb band was identified in the leukemic sample from Case 1 (lane 4, lower arrow), suggesting aberrant expression of the IL-3 gene. In addition, the leukemic sample showed over-expression of an unspliced 2.9 kb IL-3 transcript (lane 4, upper arrow). We documented that this represented an unspliced precursor of the mature 1 kb transcript by showing that this band hybridized to a probe from exon 2 of the IL-3 gene. A similar 2.9 kb band was detected in lane 2, suggesting that an IL-3 mRNA of this class is constitutive in normal mitogen-stimulated cells. Lanes 5 through 10 represent RNA from six samples of B-220+ acute lymphocytes from Case 2 without the t(5;14) translocation, indicating that only the sample with the translocation exhibited IL-3 over-expression. Case 2 could not be analyzed by Northern blot because too few cells were available for study.

the locations of the two cloned breakpoints in relation to the IL-3 gene. The two chromosome 5 breakpoints were separated by less than 500 bp.

The genomic structure in Cases 1 and 2 suggested that a normal IL-3 gene product was over-expressed as a result of the altered promoter structure. This would predict that the IL-3 gene on the translocated chromosome was capable of making IL-3 protein. This prediction was tested by expressing a genomic fragment from the translocated allele of Case 1 containing all five IL-3 exons under the control of the SV40 promoter/enhancer in the Cos7 cell line. Cell supernatants were studied in a proliferation assay using the factor dependent erythroleukemic cell line, TF-1. The supernatants derived from transfections using the vector plus insert supported TF-1 proliferation, while supernatants from transfections using the vector alone were negative in this assay (data not shown). Furthermore, the biologic activity could be blocked by an antibody to human IL-3 (BVD3-6G8). This result showed that the translocated allele retained the ability to make IL-3 mRNA and protein.

The level of expression of IL-3 mRNA in leukemic cells from Case 1 was assessed. Northern blotting showed that the mature IL-3 mRNA (approximately 1 kb) and a 2.9 kb unspliced IL-3 mRNA were excessively produced by the leukemia (Fig 3). The 2.9 kb form of the mRNA is also present at low levels in normal peripheral blood T lymphocytes after mitogen activation (Fig 3). Several B-lineage acute leukemia samples without the t(5;14) translocation had undetectable levels of IL-3 mRNA in these experiments. In addition, although genes for GM-CSF and IL-5 map close to the IL-3 gene and might have been deregulated by the translocation, no IL-5 or GM-CSF mRNA could be detected in the leukemic sample (data not shown).<sup>19,20</sup>

Three serum samples from Case 2 were assayed by immunoassay for levels of IL-3, GM-CSF, and IL-5 (Table 1). Serum IL-3 could be detected and correlated with the clinical course. When the patient's leukemic cell burden was

highest, the IL-3 level was highest. No serum GM-CSF or IL-5 could be detected.

Since the IL-3 immunoassay measured only immunoreactive factor, we confirmed that biologically active IL-3 was present by using the TF-1 bioassay. This bioassay can be rendered monospecific using appropriate neutralizing monoclonal antibodies specific for IL-3, IL-5, or GM-CSF. We observed that sera from 1-16-84 and 3-14-84 contained TF-1 stimulating activity that could be blocked with anti-IL-3 MoAb (BVD3-6G8), but not with MoAbs to IL-5 (JES1-39D10) or GM-CSF (BVD2-23B6) (Fig 4; GM-CSF data not shown). The amount of neutralizable bioactivity in these two samples correlated very well with the difference in IL-3 levels obtained by immunoassay for these samples. Furthermore, the failure to block TF-1 proliferating activity with either anti-IL-5 or anti-GM-CSF was consistent with the inability to measure these factors by immunoassay and

Table 1. Peripheral Blood Counts and Growth Factor Levels at Different Times in Case 2

|  | Sample Date |         |         |
|--|-------------|---------|---------|
|  | 11/15/83    | 1/16/84 | 3/14/84 |
| Peripheral blood counts (cells/ $\mu$ L) |             |         |         |
| WBC                                      | 81,800      | 116,500 | 12,300  |
| Lymphoblasts                             | 0           | 33,785  | 0       |
| Eosinophils                              | 46,828      | 73,080  | 615     |
| Serum growth factor levels (pg/mL)       |             |         |         |
| IL-3                                     | <444        | 7,895   | 1,051   |
| GM-CSF                                   | <15         | <15     | <15     |
| IL-5                                     | <50         | <50     | <50     |

Peripheral blood counts from Case 2 at three different time points with the corresponding growth factor levels quantified by immunoassay. The patient received chemotherapy between 1/16/84 and 3/14/84 to lower his leukemic burden.<sup>9</sup> No serum samples were available for a similar analysis of Case 1.

Abbreviation: WBC, white blood cells.



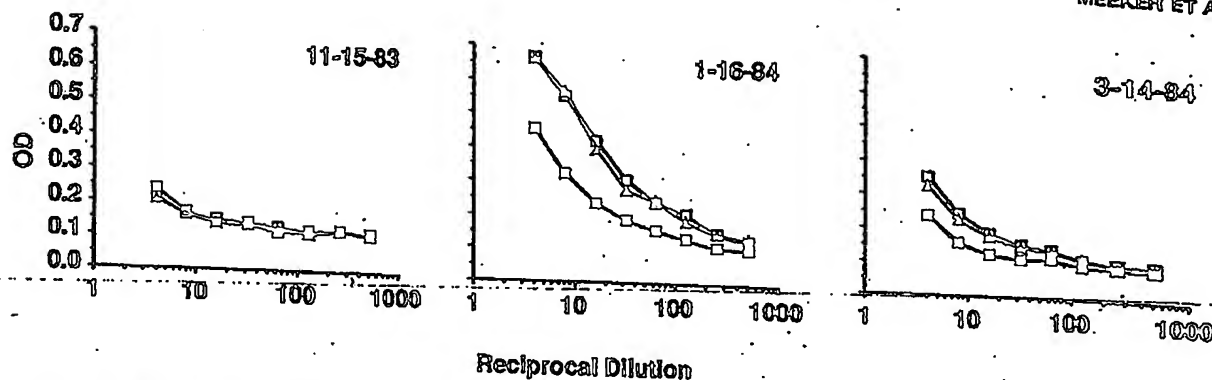


Fig 4. Bioassay of serum IL-3. Leukemic patient sera were tested for bioactive IL-3 and IL-5 in the TF-1 proliferation assay. The reciprocal of the dilution is indicated on the horizontal axis and the optical density indicating the amount of proliferation is indicated on the vertical axis. Serum from all three time points was assayed simultaneously. The assay was rendered nonspecific by using 0.1  $\mu$ g/ml anti-concentration of monoclonal anti-IL-3, BV10-603 (□), or anti-IL-3 JES1-39D10 (Δ). Infection as described. On 1/10/83 and 3/14/84, inhibition of proliferation was evident with the use of anti-IL-3 antibody, documenting serum levels of IL-3 on these days. Serum IL-5 was not detected in this assay, as anti-IL-5 did not alter TF-1 proliferation.

indicated that these other myeloid growth factors were not detectably circulating in the serum of this patient.

#### DISCUSSION

In this report, we have extended our analysis of acute lymphocytic leukemia and eosinophilia associated with the t(5;14) translocation. In both cases we have studied, we have documented the joining of the IL-3 gene from chromosome 5 to the IgH gene from chromosome 14. The breakpoints on chromosome 5 are within 500 bp of each other, suggesting that additional breakpoints will be clustered in a small region of the IL-3 promoter. The PCR assay we have developed will be useful in the screening of additional clinical samples for this abnormality.

The finding of a disrupted IL-3 promoter associated with an otherwise normal IL-3 gene implied that this translocation might lead to the over-expression of a normal IL-3 gene product. In this work, we have documented that this is true. In addition, neither GM-CSF nor IL-5 are over-expressed by the leukemic cells. Furthermore, in one patient, serum IL-3 could be measured and correlated with disease activity. To our knowledge, this is the first measurement of human IL-3 in serum and its association with a disease process. The measurement of serum IL-3 in this and other clinical settings may now be indicated.

The finding of the IL-3 gene adjacent to a cancer-associated translocation breakpoint suggests that its activation is important for oncogenesis. It is our thesis that an autocrine loop for IL-3 is important for the evolution of this leukemia.<sup>2</sup> The excessive IL-3 production that we have documented would be one feature of such an autocrine loop. The final proof of our thesis must await additional data. In particular, from the study of additional clinical samples, it will be necessary to document that the IL-3 receptor is present on the leukemic cells and that anti-IL-3 antibody decreases proliferation of the leukemia in vitro.

An important aspect of this work is the suggestion of a therapeutic approach for this disease. If an autocrine loop for IL-3 can be documented in this disease, attempts to lower circulating IL-3 levels or block the interaction of IL-3 with its receptor may prove useful. Because it is also possible that the eosinophilia in these patients is mediated by the paracrine effects of leukemia-derived IL-3, similar interventions may improve this aspect of the disease. Antibodies or engineered ligands to accomplish these goals may soon be available.

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## Clinical and Pathologic Significance of the *c-erbB-2* (*HER-2/neu*) Oncogene

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The *c-erbB-2* oncogene was first shown to have clinical significance in 1987 by Slamon et al,<sup>73</sup> who reported that *c-erbB-2* DNA amplification in breast carcinomas correlated with decreased survival in patients with metastasis to axillary lymph nodes. Subsequent studies, however, of *c-erbB-2* activation in breast carcinoma reached conflicting conclusions about its clinical significance. This oncogene also has been reported to have clinical and pathologic implications in other neoplasms. Our review summarizes these various studies and examines the clinical relevance of *c-erbB-2* activation, which has not been emphasized in recent reviews.<sup>37,38,55</sup> The molecular biology of the *c-erbB-2* oncogene has been extensively reviewed<sup>37,38,55</sup> and will be discussed only briefly here.

### BACKGROUND

The *c-erbB-2* oncogene was discovered in the 1980s by three lines of investigation. The *neu* oncogene was detected as a mutated transforming gene in neuroblastomas induced by ethylnitrosurea treatment of fetal rats.<sup>5,73,74,75</sup> The *c-erbB-2* was a human gene discovered by its homology to the retroviral gene *v-erbB*.<sup>33,43,76</sup> *HER-2* was isolated by screening a human genomic DNA library for homology with *v-erbB*.<sup>24</sup> When the DNA sequences were determined subsequently, *c-erbB-2*, *HER-2*, and *neu* were found to represent the same gene. Recently, the *c-erbB-2* oncogene also has been referred to as *NGL*.

The *c-erbB-2* DNA is located on human chromosome 17q21<sup>24,33,68</sup> and codes for *c-erbB-2* mRNA (4.6 kb), which translates *c-erbB-2* protein (p185). This

protein is a normal component of cytoplasmic membranes. The *c-erbB-2* oncogene is homologous with, but not identical to, *c-erbB-1*, which is located on chromosome 7 and codes for the epidermal growth factor receptor.<sup>8,108</sup> The *c-erbB-2* protein is a receptor on cell membranes and has intracellular tyrosine kinase activity and an extracellular binding domain.<sup>2,108</sup> Electron microscopy with a polyclonal antibody detects *c-erbB-2* immunoreactivity on cytoplasmic membranes of neoplasms, especially on microvilli and the non-villous outer cell membrane.<sup>61</sup> In normal cells, immunohistochemical reactivity for *c-erbB-2* is frequently present at the basolateral membrane or the cytoplasmic membrane's brush border.<sup>23,61</sup>

There is experimental evidence that *c-erbB-2* protein may be involved in the pathogenesis of breast neoplasia. Overproduction of otherwise normal *c-erbB-2* protein can transform a cell line into a malignant phenotype.<sup>12</sup> Also, when the *neu* oncogene containing an activating point mutation is placed in transgenic mice with a strong promoter for increased expression, the mice develop multiple independent mammary adenocarcinomas.<sup>14,63</sup> In other experiments, monoclonal antibodies against the *neu* protein inhibit the growth (in nude mice) of a *neu*-transformed cell line,<sup>68-69</sup> and immunization of mice with *neu* protein protects them from subsequent tumor challenge with the *neu*-transformed cell line.<sup>74</sup> Some authors have speculated that the use of antagonists for the unknown ligand could be useful in future chemotherapy.<sup>65</sup> Further review of this experimental evidence is beyond the scope of this article.

The *c-erbB-2* activation most likely occurs at an early stage of neoplastic development. This hypothesis is supported by the presence of *c-erbB-2* activation in both in situ and invasive breast carcinomas. In addition, studies of metastatic breast carcinomas usually demonstrate uniform *c-erbB-2* activation at multiple sites in the same patient,<sup>11,12,32,41,52</sup> although *c-erbB-2* activation has rarely been detected in metastatic lesions but not in the primary tumor.<sup>57,62,107</sup> Even more rarely, *c-erbB-2* DNA amplification has been detected in a primary breast carcinoma but not in its lymph node metastasis.<sup>5</sup> In patients who have bilateral breast neoplasms, both lesions have similar patterns of *c-erbB-2* activation, but only a few such cases have been studied.<sup>11</sup>

### MECHANISMS OF *c-erbB-2* ACTIVATION

The most common mechanism of *c-erbB-2* activation is genomic DNA amplification, which almost always results in overproduction of *c-erbB-2* mRNA and protein.<sup>17,64,65,91</sup> The *c-erbB-2* amplification may stabilize the overproduction of mRNA or protein through unknown mechanisms. Human breast carcinomas with *c-erbB-2* amplification contain 2 to 40 times more *c-erbB-2* DNA<sup>43</sup> and 4 to 128 times more *c-erbB-2* mRNA<sup>34,90</sup> than found in normal tissue. Most human breast carcinomas with *c-erbB-2* amplification have 2 to 15 times more *c-erbB-2* DNA. Tumors with greater amplification tend to have greater overproduction.<sup>17,32,65</sup> The non-mammary neoplasms that have been studied tend to have

similar levels of c-erbB-2 amplification or overproduction relative to the corresponding normal tissue.

The second most common mechanism of c-erbB-2 activation is overproduction of c-erbB-2 mRNA and protein without amplification of c-erbB-2 DNA.<sup>61</sup> The quantities of mRNA and protein usually are less than those in amplified cases and may approach the small quantities present in normal breast or other tissues.<sup>17,50,52</sup> The c-erbB-2 protein overproduction without mRNA overproduction or DNA amplification has been described in a few human breast carcinoma cell lines.<sup>47</sup>

Other rare mechanisms of c-erbB-2 activation have been reported. Translocations involving the c-erbB-2 gene have been described in a few mammary and gastric carcinomas, although some reported cases may represent restriction fragment length polymorphisms or incomplete restriction enzyme digestions that mimic translocations.<sup>31,53,74,94,99,100</sup> A single point mutation in the transmembrane portion of *neu* has been described in rat neuroblastomas induced by ethylnitrosurea.<sup>9,55</sup> The mutated *neu* protein has increased tyrosine kinase activity and aggregates at the cell membrane.<sup>10,53,56</sup> Although there has been speculation that some of the amplified c-erbB-2 genes may contain point mutations,<sup>48</sup> none has been detected in primary human neoplasms.<sup>41,53,61</sup>

## TECHNIQUES FOR DETECTING c-erbB-2 ACTIVATION

### Detection of c-erbB-2 DNA Amplification

Amplification of c-erbB-2 DNA is usually detected by DNA dot blot or Southern blot hybridization. In the dot blot method, the extracted DNA is placed directly on a nylon membrane and hybridized with a c-erbB-2 DNA probe. In the Southern blot method, the extracted DNA is treated with a restriction enzyme, and the fragments are separated by electrophoresis, transferred to a nylon membrane, and hybridized with a c-erbB-2 DNA probe. In both techniques, c-erbB-2 amplification is quantified by comparing the intensity (measured by densitometry) of the hybridization bands from the sample with those from control tissue.

Several technical problems may complicate the measurement of c-erbB-2 DNA amplification. First, the extracted tumor DNA may be excessively degraded or diluted by DNA from stromal cells.<sup>61</sup> Second, the c-erbB-2 DNA probe must be carefully chosen and labeled. For example, oligonucleotide c-erbB-2 probes may not be sensitive enough for measuring a low level of c-erbB-2 amplification, because diploid copy numbers can be difficult to detect (unpublished data). Third, the total amounts of DNA in the sample and control tissue must be compensated for, often with a probe to an unamplified gene. Many studies have used control probes to genes on chromosome 17, the location of c-erbB-2, to correct for possible alterations in chromosome number. Identical results, however, are obtained by using control probes to genes on other chromosomes,<sup>5,65,80</sup> with rare exception.<sup>17</sup> Studies using control probes to the beta-

globin gene must be interpreted with caution, because one allele of this gene is deleted occasionally in breast carcinomas.<sup>3</sup>

Amplification of *c-erbB-2* DNA was assessed by using the polymerase chain reaction (PCR) in one recent study.<sup>33</sup> Oligoprimers for the *c-erbB-2* gene and a control gene are added to the sample's DNA, and PCR is performed. If the sample contains more copies of *c-erbB-2* DNA than of the control gene, the *c-erbB-2* DNA is replicated preferentially.

#### Detection of *c-erbB-2* mRNA Overproduction

Overproduction of *c-erbB-2* mRNA usually is measured by RNA dot blot or Northern blot hybridization. Both techniques require extraction of RNA but otherwise are analogous to DNA dot blot and Southern blot hybridization. Use of PCR for detection of *c-erbB-2* mRNA has been described in two recent abstracts.<sup>33,103</sup>

Overproduction of *c-erbB-2* mRNA can be measured by in situ hybridization. Sections are mounted on glass slides, treated with protease, hybridized with a radiolabeled probe, washed, treated with nuclease to remove unbound probe, and developed for autoradiography. Silver grains are seen only over tumor cells that overproduce *c-erbB-2* mRNA. Negative control probes are used.<sup>33,103</sup> Our experience indicates that these techniques are relatively insensitive for detecting *c-erbB-2* mRNA overproduction in routinely processed tissue. Although the sensitivity may be increased by modifications that allow simultaneous detection of *c-erbB-2* DNA and mRNA, in situ hybridization still is cumbersome and expensive (unpublished data).

All of the above *c-erbB-2* mRNA detection techniques have several problems that make them more difficult to perform than techniques for detecting DNA amplification. One major problem is the rapid degradation of RNA in tissue that is not immediately frozen or fixed. In addition, during the detection procedure, RNA can be degraded by RNase, a ubiquitous enzyme, which must be eliminated meticulously from laboratory solutions. Third, control probes to genes that are uniformly expressed in the tissue of interest need to be carefully selected.

#### Detection of *c-erbB-2* Protein Overproduction

The most accurate methods for detecting *c-erbB-2* protein overproduction are the Western blot method and immunoprecipitation. Both techniques can document the binding specificity of various antibodies against *c-erbB-2* protein. In Western blot studies, protein is extracted from the tissue, separated by electrophoresis (according to size), transferred to a membrane, and detected by using antibodies to *c-erbB-2*. In immunoprecipitation studies, antibodies against *c-erbB-2* are added to a tumor lysate, and the resulting protein-antibody precipitate is separated by gel electrophoresis and stained for protein. Both Western blot and immunoprecipitation are useful research tools but currently are not practical for diagnostic pathology. Two recent abstracts have described an enzyme-linked immunosorbent assay (ELISA) for detection of *c-erbB-2* protein.<sup>33,35</sup>

Overproduction of c-erbB-2 protein is most commonly assessed by various immunohistochemical techniques. These procedures often generate conflicting results, which are explained at least partially by three factors. First, various studies have used different polyclonal and monoclonal antibodies. Because some polyclonal antibodies recognize weak bands in addition to the c-erbB-2 protein band on Western blot or immunoprecipitation, the results of these studies should be interpreted with caution.<sup>22,23,47,61</sup> Even some monoclonal antibodies immunoprecipitate protein bands in addition to c-erbB-2 (p185).<sup>20,22,23</sup> Second, tissue fixation contributes to variability between studies. For example, some antibodies detect c-erbB-2 protein only in frozen tissue and do not react in fixed tissue. In general, formalin fixation diminishes the sensitivity of immunohistochemical methods and decreases the number of reactive cells.<sup>21,26</sup> When Bouin's fixative is used, there may be a higher percentage of positive cases.<sup>22</sup> Third, minimal criteria for interpreting immunohistochemical staining are generally lacking. Although there is general agreement that distinct crisp cytoplasmic membrane staining is diagnostic for c-erbB-2 activation in breast carcinoma, the number of positive cells and the staining intensity required to diagnose c-erbB-2 protein overproduction varies from study to study and from antibody to antibody. Degradation of c-erbB-2 protein is not a problem because it can be detected in intact form more than 24 hours after tumor resection without fixation or freezing.<sup>64</sup>

## ACTIVATION OF c-erbB-2 IN BREAST LESIONS

### Incidence of c-erbB-2 Activation

Most studies of c-erbB-2 oncogene activation do not specify histological subtypes of infiltrating breast carcinoma. Amplification of c-erbB-2 DNA was found in 19.1 percent (519 of 2715) of invasive carcinomas in 25 studies (Table 1), and c-erbB-2 mRNA or protein overproduction was detected in 20.9 percent (566 of 2714) of invasive carcinomas in 20 studies. Twelve studies have documented c-erbB-2 mRNA or protein overproduction in 15 percent (88 of 604) of carcinomas that lacked c-erbB-2 DNA amplification.

The incidence of c-erbB-2 activation in infiltrating breast carcinoma varies with the histological subtype. Approximately 22 percent (142 of 650) of infiltrating ductal carcinomas have c-erbB-2 activation, as expected from the above data. Other variants of breast carcinoma with frequent c-erbB-2 activation are inflammatory carcinoma (62 percent, 54 of 87), Paget's disease (82 percent, 9 of 11), and medullary carcinoma (22 percent, 5 of 23). In contrast, c-erbB-2 activation is infrequent in infiltrating lobular carcinoma (7 percent, 5 of 73) and tubular carcinoma (7 percent, 1 of 15).

The c-erbB-2 protein overproduction is present in 44 percent (44 of 100) of ductal carcinomas in situ and especially comedocarcinoma in situ (68 percent, 49 of 72). The micropapillary type of ductal carcinoma in situ also tends to have c-erbB-2 activation,<sup>40,54,68</sup> especially if larger cells are present. The greater fre-

TABLE 1. c-erbB-2 ACTIVATION IN MALIGNANT HUMAN BREAST NEOPLASMS

| Histological Diagnosis   | c-erbB-2 DNA Amplification <sup>a</sup>     | c-erbB-2 mRNA Overproduction <sup>b</sup>              | c-erbB-2 Protein Overproduction <sup>c</sup> |
|--|---|--|--|
| Carcinoma, not otherwise specified                                   | 148/628, <sup>a</sup> 52/310, <sup>b</sup>  | 42/180, <sup>a</sup> 49/126, <sup>b</sup>              | 118/728, <sup>a,b</sup>                      |
|  | 52/291, <sup>a</sup> 28/176, <sup>a</sup>   | 18/82, <sup>a</sup> 18/57, <sup>a</sup>                | 58/330, <sup>a</sup> 47/313, <sup>a</sup>    |
|  | 17/157, <sup>a</sup> 22/141, <sup>a</sup>   | 3/11, <sup>a</sup> 8/10, <sup>a</sup> 3/9 <sup>a</sup> | 17/195, <sup>a</sup> 32/191, <sup>a</sup>    |
|  | 14/136, <sup>a</sup> 12/122, <sup>a</sup>   |  | 31/185, <sup>a</sup> 34/102, <sup>a</sup>    |
|  | 19/103, <sup>a</sup> 15/95, <sup>a</sup>    |  | 24/53, <sup>a</sup> 23/47, <sup>a</sup>      |
|  | 15/88, <sup>a</sup> 17/73, <sup>a</sup>     |  | 22/45, <sup>a</sup> 11/36, <sup>a</sup>      |
|  | 16/66, <sup>a</sup> 8/61, <sup>a</sup>      |  | 7/24, <sup>a</sup> 1/10 <sup>a</sup>         |
|  | 11/57, <sup>a</sup> 10/57, <sup>a</sup>     |  |  |
|  | 13/51, <sup>a</sup> 8/49, <sup>a</sup>      |  |  |
|  | 10/38, <sup>a</sup> 12/33, <sup>a</sup>     |  |  |
|  | 1/25, <sup>a</sup> 7/24, <sup>a</sup>       |  |  |
|  | 7/15, <sup>a</sup> 7/10, <sup>a</sup>       |  |  |
|  | 2/10 <sup>a</sup>                           |  |  |
|  | —   | 18/138, <sup>a</sup> 14/73, <sup>a</sup>               | 16/231, <sup>a</sup> 18/138, <sup>a</sup>    |
|  |   | 8/48, <sup>a</sup> 0/8, <sup>a</sup> 1/4, <sup>a</sup> | 13/36, <sup>a</sup> 14/29, <sup>a</sup>      |
| Carcinoma, type not specified but lacking c-erbB-2 DNA amplification |   | 0/3 <sup>a</sup>                                       | 1/28, <sup>a</sup> 3/24, <sup>a</sup>        |
|  |   |  | 0/17 <sup>a</sup>                            |
| Infiltrating ductal carcinoma  | 21/118, <sup>a</sup> 23/107, <sup>a</sup>   | 35/85 <sup>a</sup>                                     | 22/137, <sup>a</sup> 14/83, <sup>a</sup>     |
|  | 17/50, <sup>a</sup> 7/37 <sup>a</sup>       |  | 8/34 <sup>a</sup>                            |
|  | 14/53 (comedo-carcinoma), <sup>a</sup>      |  |  |
|  | 3/53 (tubuloductal carcinoma), <sup>a</sup> |  |  |



|   |                                       |                     |  |
|---|---------------------------------------|---------------------|--|
| Inflammatory carcinoma                        | 33/80, <sup>a</sup> 3/6 <sup>aa</sup> | 46/75 <sup>aa</sup> | 5/6 <sup>ab</sup>  |
| Paget's disease                               | —                                     | —                   | 5/6, <sup>ab</sup> 2/3, <sup>aa</sup> 2/2 <sup>aa</sup>    |
| Tubular carcinoma                             | 0/5, <sup>aa</sup> 0/1 <sup>aa</sup>  | 0/1 <sup>aa</sup>   | 1/8 <sup>ab</sup>  |
| Medullary carcinoma                           | 2/4, <sup>aa</sup> 0/1 <sup>aa</sup>  | —                   | 1/12, <sup>ab</sup> 1/3, <sup>aa</sup> 1/2, <sup>aa</sup>  |
| Mucinous carcinoma                            | 0/1, <sup>aa</sup> 0/1 <sup>aa</sup>  | —                   | 0/1 <sup>aa</sup>  |
| Invasive papillary carcinoma                  | 0/2 <sup>aa</sup>                     | —                   | 1/2 <sup>aa</sup>  |
| Infiltrating lobular carcinoma                | 1/16, <sup>aa</sup> 0/6 <sup>aa</sup> | 1/6 <sup>aa</sup>   | 2/27, <sup>aa</sup> 0/12, <sup>ab</sup> 0/8, <sup>aa</sup> |
| Mammary fibrosarcoma                          | 0/1 <sup>aa</sup>                     | —                   | 1/5 <sup>aa</sup>  |
| "Benign cystosarcoma"                         | —                                     | —                   | 0/1 <sup>aa</sup>  |
| Ductal CIS <sup>a</sup> with minimal invasion | 3/5 <sup>aa</sup>                     | —                   | —  |
| Ductal CIS                                    | 0/2 <sup>aa</sup>                     | 1/2 <sup>aa</sup>   | 33/74, <sup>ab</sup> 10/24 <sup>aa</sup>                   |
| Ductal CIS, solid or comedo type              | —                                     | —                   | 20/23, <sup>aa</sup> 18/23, <sup>aa</sup>                  |
| Ductal CIS, micropapillary type               | —                                     | —                   | 10/10 <sup>aa</sup>  |
| Ductal CIS, micropapillary or cribriform type | —                                     | —                   | 10/10 <sup>aa</sup>  |
| Ductal CIS, papillary or cribriform type      | —                                     | —                   | 1/(focal)/14 <sup>aa</sup>                                 |
| Lobular CIS                                   | —                                     | —                   | 0/16, <sup>aa</sup> 1/9, <sup>aa</sup> 0/9 <sup>aa</sup>   |
|   | —                                     | —                   | 0/16 <sup>aa</sup>   |

<sup>a</sup>Shown as number of cases with activation/number of cases studied; reference is given as a superscript.

<sup>aa</sup>These protein studies used Western blots; the rest used immunohistochemical methods.

<sup>ab</sup>CIS = carcinoma in situ.

quency of *c-erbB-2* protein overproduction in comedocarcinoma in situ, compared with infiltrating ductal carcinoma, could be explained by the fact that many infiltrating ductal carcinomas arise from other types of intraductal carcinoma, which show *c-erbB-2* activation infrequently. Others have speculated that carcinoma in situ with *c-erbB-2* activation tends to regress or to lose *c-erbB-2* activation during progression to invasion.<sup>41,42,43</sup> Infiltrating and in situ components of ductal carcinoma, however, usually are similar with respect to *c-erbB-2* activation,<sup>11,39</sup> although some authors have noted more heterogeneity of the immunohistochemical staining pattern in invasive than in in situ carcinoma.<sup>44,45,46</sup> Activation of *c-erbB-2* is infrequent in lobular carcinoma in situ. If lesions contain more than one histological pattern of carcinoma in situ, the *c-erbB-2* protein overproduction tends to occur in the comedocarcinoma in situ but may include other areas of carcinoma in situ.<sup>42,44,46</sup> Overproduction of *c-erbB-2* protein in ductal carcinoma in situ correlates with larger cell size and a periductal lymphoid infiltrate.<sup>40</sup>

Activation of *c-erbB-2* has not been identified in benign breast lesions, including fibrocystic disease, fibroadenomas, and radial scars (Table 2). Strong membrane immunohistochemical reactivity for *c-erbB-2* has not been described in atypical ductal hyperplasia, although weak accentuation of membrane staining has been noted infrequently.<sup>39,42,44</sup> In normal breast tissue, *c-erbB-2* DNA is diploid, and *c-erbB-2* is expressed at lower levels than in activated tumors.<sup>34,35,42,43</sup>

These preliminary data suggest that *c-erbB-2* activation may not be useful for resolving many of the common problems in diagnostic surgical pathology. For example, *c-erbB-2* activation is infrequent in tubular carcinoma and radial scars. In addition, because *c-erbB-2* activation is unusual in atypical ductal hyperplasia, cribriform carcinoma in situ, and papillary carcinoma in situ, detection of *c-erbB-2* activation in these lesions may not be helpful in their differential diagnosis. The histological features of comedocarcinoma in situ, which commonly overproduces *c-erbB-2*, are unlikely to be mistaken for those of benign lesions. Activation of

TABLE 2. *c-erbB-2* ACTIVATION IN BENIGN HUMAN BREAST LESIONS

| Histological Diagnosis      | <i>c-erbB-2</i> DNA Amplification <sup>a</sup>                                 | <i>c-erbB-2</i> mRNA Overproduction  | <i>c-erbB-2</i> Protein Overproduction  |
|-----------------------------|--|--------------------------------------|---|
| Fibrocystic disease         | 0/10 <sup>33</sup>   | —                                    | 0/32, <sup>39</sup> 0/9, <sup>40</sup> 0/8 <sup>41</sup>                        |
| Atypical ductal hyperplasia | —  | —                                    | 2(weak)/21, <sup>44</sup><br>1(cytoplasmic)/13 <sup>46</sup>                    |
| Benign ductal hyperplasia   | —  | —                                    | 0/12 <sup>39</sup>  |
| Sclerosing adenosis         | —  | —                                    | 0/4 <sup>39</sup>   |
| Fibroadenomas               | 0/16, <sup>34</sup> 0/6, <sup>35</sup><br>0/2, <sup>41</sup> 0/1 <sup>42</sup> | 0/8, <sup>35</sup> 0/3 <sup>34</sup> | 0/21, <sup>39</sup> 0/10, <sup>40</sup><br>0/8, <sup>40</sup> 0/3 <sup>42</sup> |
| Radial scars                | —  | —                                    | 0/22 <sup>39</sup>  |
| Blunt duct adenosis         | —  | —                                    | 0/14 <sup>39</sup>  |
| "Breast mastosis"           | —  | 0/3 <sup>39</sup>                    | —   |

<sup>a</sup>Shown as number of cases with activation/number of cases studied; reference is given as a superscript.

c-erbB-2, however, does favor infiltrating ductal carcinoma over infiltrating lobular carcinoma. Further studies of these issues would be useful.

#### Correlation of c-erbB-2 Activation With Pathologic Prognostic Factors

Multiple studies have attempted to correlate c-erbB-2 activation with various pathologic prognostic factors (Table 3). Activation of c-erbB-2 was correlated with lymph node metastasis in 8 of 28 series, with higher histological grade in 6 of 17 series, and with higher stage in 4 of 14 series. Large tumor size was not associated with c-erbB-2 activation in most studies (11 of 14). Tetraploid DNA content and low proliferation, measured by Ki-67, have been suggested as prognostic factors and may correlate with c-erbB-2 activation.<sup>17</sup>

#### Correlation of c-erbB-2 Activation With Clinical Prognostic Factors

Various studies have attempted also to correlate c-erbB-2 activation with clinical features that may predict a poor outcome (Table 4). Activation of c-erbB-2 correlated with absence of estrogen receptors in 10 of 23 series and with absence of progesterone receptors in 6 of 18 series. In most studies, patient age did not correlate with c-erbB-2 activation, and, in the rest of the reports, c-erbB-2 activation was associated with either younger or older ages.

#### Correlation of c-erbB-2 Activation With Patient Outcome

Slamon et al<sup>18</sup> first showed that amplification of the c-erbB-2 oncogene independently predicts decreased survival of patients with breast carcinoma. The correlation of c-erbB-2 amplification with poor outcome was nearly as strong as the correlation of number of involved lymph nodes with poor outcome. Slamon et al also reported that c-erbB-2 amplification is an important prognostic indicator only in patients with lymph node metastasis.<sup>19,21</sup>

A large number of subsequent studies also attempted to correlate c-erbB-2 activation with prognosis (Table 5). In 12 series, there was a correlation between c-erbB-2 activation and tumor recurrence or decreased survival. In five of these series, the predictive value of c-erbB-2 activation was reported to be independent of other prognostic factors. In contrast, 18 series did not confirm the correlation of c-erbB-2 activation with recurrence or survival. Four possible explanations for this controversy are discussed below.

One problem is that c-erbB-2 amplification correlates with prognosis mainly in patients with lymph node metastasis. As summarized in Table 5, most studies of patients with axillary lymph node metastasis showed a correlation of c-erbB-2 activation with poor outcome. In contrast, most studies of patients without axillary metastasis have not demonstrated a correlation with patient outcome. Table 6 summarizes the studies in which all patients (with and without axillary metastasis) were considered as one group. There is a trend for studies with a higher percentage of metastatic cases to show an association between c-erbB-2 activation and poor outcome. Thus, most of the current evidence suggests that c-erbB-2 activation has prognostic value only in patients with metastasis to lymph nodes.

TABLE 3. CORRELATION OF c-erbB-2 ACTIVATION WITH PATHOLOGIC PROGNOSTIC FACTORS IN BREAST CARCINOMA

| Prognostic Factor                  | P <sup>a</sup>              | c-erbB-2 DNA Amplification <sup>b</sup>   | c-erbB-2 mRNA Overproduction <sup>c</sup>   | c-erbB-2 Protein Overproduction <sup>c</sup>   |
|------------------------------------|-----------------------------|---|---|--|
| Metastasis to axillary lymph nodes | <0.05<br>0.05-0.15<br>>0.15 | (118) <sup>90</sup> (105) <sup>94</sup> (49) <sup>91</sup><br>(103) <sup>92</sup> (86) <sup>96</sup> (58) <sup>111</sup><br>(279) <sup>117</sup> (176) <sup>97</sup> (157) <sup>113</sup><br>(122) <sup>94</sup> (85) <sup>90</sup> (50) <sup>92</sup><br>(50) <sup>114</sup> (47) <sup>91</sup> (41) <sup>90</sup><br>(280) <sup>117</sup>   | (104) <sup>90</sup> (82) <sup>94</sup> (9) <sup>91</sup><br>(50) <sup>90</sup><br>— | (350) <sup>90</sup> (36) <sup>93</sup><br>(189) <sup>92</sup><br>(329) <sup>116</sup> (281) <sup>90</sup> (185) <sup>111</sup><br>(185) <sup>101</sup> (102) <sup>90</sup> (50) <sup>90</sup><br>(330) <sup>112</sup> (189) <sup>92</sup><br>(350) <sup>90</sup> (185) <sup>101</sup> (34) <sup>92</sup><br>(349) <sup>116</sup><br>(102) <sup>90</sup> (58) <sup>90</sup> |
| Larger size                        | <0.05<br>0.05-0.15<br>>0.15 | (86) <sup>96</sup><br>(176) <sup>97</sup> (157) <sup>113</sup> (103) <sup>92</sup><br>(84) <sup>97</sup> (58) <sup>111</sup> (45) <sup>91</sup><br>(300) <sup>117</sup> (64) <sup>97</sup> (58) <sup>111</sup><br>(56) <sup>92</sup><br>(176) <sup>97</sup> (157) <sup>113</sup> (64) <sup>90</sup><br>(61) <sup>90</sup> (53) <sup>91</sup> (52) <sup>97</sup><br>(41) <sup>90</sup> | (51) <sup>90</sup><br>—<br>—<br>—<br>—<br>—<br>—                                    | (178) <sup>101</sup> (168) <sup>111</sup> (38) <sup>90</sup><br>(230) <sup>90</sup> (189) <sup>92</sup> (102) <sup>90</sup>  |
| Higher stage                       | <0.05<br>0.05-0.15<br>>0.15 | (47) <sup>91</sup> (15) <sup>91</sup><br>(122) <sup>94</sup> (113) <sup>94</sup> (85) <sup>90</sup><br>(58) <sup>111</sup> (50) <sup>94</sup> (41) <sup>90</sup>  | (53) <sup>90</sup><br>(86) <sup>92</sup> (65) <sup>92</sup><br>—                    | (178) <sup>101</sup> (168) <sup>111</sup> (38) <sup>90</sup><br>(230) <sup>90</sup> (189) <sup>92</sup> (102) <sup>90</sup>  |
| Higher histological grade          | <0.05<br>0.05-0.15<br>>0.15 | (122) <sup>94</sup> (113) <sup>94</sup> (85) <sup>90</sup><br>(58) <sup>111</sup> (50) <sup>94</sup> (41) <sup>90</sup>   | (53) <sup>90</sup><br>(86) <sup>92</sup> (65) <sup>92</sup><br>—                    | (178) <sup>101</sup> (168) <sup>111</sup> (38) <sup>90</sup><br>(230) <sup>90</sup> (189) <sup>92</sup> (102) <sup>90</sup>  |

<sup>a</sup>A correlation is statistically significant at <0.05, equivocal at best between 0.05 and 0.15, and not statistically significant at >0.15.  
<sup>b</sup>Numbers inside parentheses are the number of patients in an individual study; superscript is the reference. Some studies analyzed more than one group of patients.  
<sup>c</sup>By Western blot method; all other protein studies used immunohistochemical methods.

TABLE 4. CORRELATION OF c-erbB-2 ACTIVATION WITH CLINICAL PROGNOSTIC FACTORS IN BREAST CARCINOMA

| Prognostic Factor                 | P <sup>a</sup> | c-erbB-2 DNA Amplification <sup>b</sup>  | c-erbB-2 mRNA Overproduction   | c-erbB-2 Protein Overproduction <sup>c</sup>  |
|-----------------------------------|----------------|--|--|---|
| Absence of estrogen receptors     | <0.05          | (253) <sup>100</sup> (141) <sup>98</sup> (109) <sup>94</sup><br>(86) <sup>78</sup> (50) <sup>44</sup> (47) <sup>15</sup>                                       | (104) <sup>98</sup>  | (350) <sup>98</sup> (320) <sup>176</sup><br>(185) <sup>91</sup>   |
|                                   | 0.05-0.15      | (157) <sup>113</sup> (122) <sup>94</sup> (103) <sup>78</sup><br>(95) <sup>90</sup> (64) <sup>77</sup> (61) <sup>98</sup>                                       | (180) <sup>98</sup> (82) <sup>98</sup> (62) <sup>98</sup><br>(57) <sup>98</sup>  | (280) <sup>98</sup> (172) <sup>111</sup> (51) <sup>122</sup><br>(38) <sup>98</sup>                      |
|                                   | >0.15          | (58) <sup>111</sup> (63) <sup>91</sup> (51) <sup>98</sup><br>(41) <sup>98</sup>  |  |   |
| Absence of progesterone receptors | <0.05          | (253) <sup>100</sup> (141) <sup>98</sup> (109) <sup>94</sup><br>(86) <sup>78</sup> (50) <sup>44</sup>  |  | (350) <sup>98</sup> (308) <sup>176</sup>  |
|                                   | 0.05-0.15      | (86) <sup>78</sup> (49) <sup>98</sup><br>(157) <sup>113</sup> (122) <sup>94</sup> (103) <sup>78</sup>  | (180) <sup>98</sup> (103) <sup>98</sup> (62) <sup>98</sup><br>(56) <sup>98</sup> | (80) <sup>111</sup> (49) <sup>122</sup>   |
|                                   | >0.15          | (64) <sup>77</sup>   |  |   |
| Age (menopausal status)           | <0.05          |  |  | (younger: 330) <sup>176</sup><br>(older: 58) <sup>122</sup>   |
|                                   | 0.05-0.15      | (younger: 86) <sup>78</sup><br>(230) <sup>113</sup> (176) <sup>94</sup> (157) <sup>113</sup><br>(122) <sup>94</sup> (116) <sup>94</sup> (103) <sup>78</sup>    | (62) <sup>98</sup>   | (860) <sup>98</sup> (280) <sup>98</sup> (189) <sup>98</sup><br>(162) <sup>111</sup> (45) <sup>122</sup> |
|                                   | >0.15          | (95) <sup>90</sup> (64) <sup>77</sup> (58) <sup>111</sup><br>(56) <sup>98</sup> (53) <sup>91</sup> (49) <sup>98</sup><br>(41) <sup>98</sup> (15) <sup>91</sup> |  |   |

<sup>a</sup>A correlation is statistically significant at <0.05, equivocal at best between 0.05 and 0.15, and not statistically significant at >0.15.

<sup>b</sup>Numbers inside parentheses are the number of patients in an individual study; superscript is the reference. Some studies analyzed more than one group of patients.

<sup>c</sup>By Western blot method; all other protein studies used immunohistochemical methods.

TABLE 5. CORRELATION OF c-erbB-2 ACTIVATION WITH OUTCOME IN PATIENTS WITH BREAST CARCINOMA

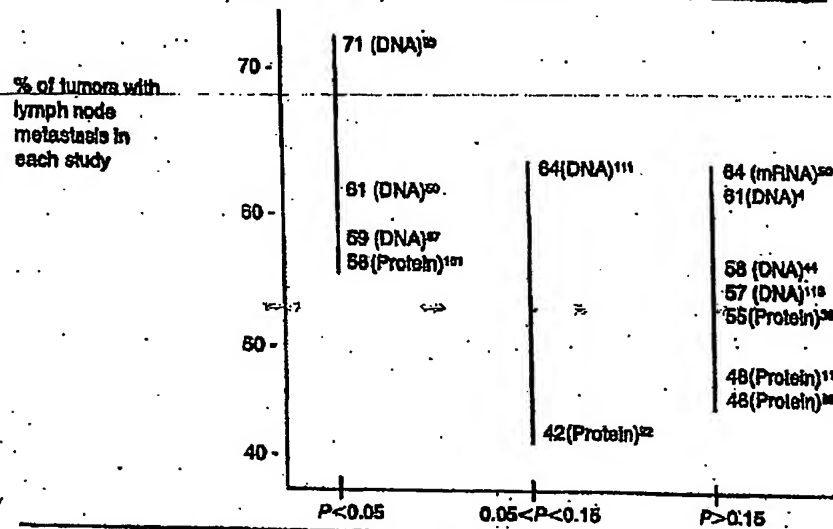
| P <sup>a</sup> | Type of c-erbB-2 Activation <sup>b</sup> | Number of Patients |   | Statistical Analysis <sup>c</sup> | Reference |
|----------------|--|--------------------|---|-----------------------------------|-----------|
|                |  | Total              | With Metastasis to Axillary Lymph Nodes |                                   |           |
| <0.05          | DNA                                      | 176                |   | M                                 | 87        |
| <0.05          | DNA                                      | 61                 |   | U                                 | 50        |
| <0.05          | DNA                                      | 57                 |   | U                                 | 65        |
| <0.05          | DNA                                      | 41                 |   | U                                 | 93        |
| <0.05          | mRNA                                     | 62                 |   | U                                 | 85        |
| <0.05          | Protein                                  | 102                |   | M                                 | 101       |
| <0.05          | DNA                                      |                    | 345                                     | M                                 | 81        |
| <0.05          | DNA                                      |                    | 120                                     | U                                 | 17        |
| <0.05          | DNA                                      |                    | 91                                      | U                                 | 87        |
| <0.05          | DNA                                      |                    | 88                                      | M                                 | 79        |
| <0.05          | Protein-WB                               |                    | 350                                     | M                                 | 85        |
| <0.05          | Protein                                  |                    | 62                                      | U                                 | 101       |
| 0.05-0.15      | DNA                                      | 57                 |   | U                                 | 111       |
| 0.05-0.15      | Protein                                  | 189                |   | M                                 | 92        |
| 0.05-0.15      | Protein                                  |                    | 120                                     | U                                 | 88        |
| >0.15          | DNA                                      | 130                |   | U                                 | 113       |
| >0.15          | DNA                                      | 122                |   | M                                 | 4         |
| >0.15          | DNA                                      | 50                 |   | U                                 | 44        |
| >0.15          | mRNA                                     | 57                 |   | U                                 | 50        |
| >0.15          | Protein                                  | 290                |   | M                                 | 86        |
| >0.15          | Protein                                  | 195                |   | U                                 | 11        |
| >0.15          | Protein                                  | 102                |   | U                                 | 39        |
| >0.15          | Protein                                  |                    | 137                                     | U                                 | 17        |
| >0.15          | DNA                                      |                    |   | M                                 | 81        |
| >0.15          | DNA                                      |                    | 181                                     | U                                 | 17        |
| >0.15          | DNA                                      |                    | 159                                     | U                                 | 87        |
| >0.15          | DNA                                      |                    | 73                                      | U                                 | 85        |
| >0.15          | Protein-WB                               |                    | 378                                     | U                                 | 17        |
| >0.15          | Protein-WB                               |                    | 192                                     | U                                 | 88        |
| >0.15          | Protein                                  |                    | 141                                     | U                                 | 40        |
| >0.15          | Protein                                  |                    | 41                                      | U                                 |           |

<sup>a</sup>The endpoints of these studies were tumor recurrence or decreased survival or both. Correlation between c-erbB-2 activation and a poorer patient outcome is statistically significant at <0.05, is of equivocal significance at 0.05 to 0.15, and is not significant at >0.15.

<sup>b</sup>Shown as variable measured. Letters "WB" indicate assay by Western blot; the other protein studies used immunohistochemical methods.

<sup>c</sup>M = multivariate statistical analysis; U = univariate statistical analysis.

TABLE 6. PERCENTAGE OF BREAST CARCINOMAS WITH METASTASIS COMPARED WITH PROGNOSTIC SIGNIFICANCE OF c-erbB-2 ACTIVATION



P for correlation of c-erbB-2 activation with patient outcome.

Each study's percentage of breast carcinomas with metastasis is compared with the correlation between c-erbB-2 activation and outcome. These data include only those studies that considered, as one group, all breast cancer patients, whether or not they had axillary metastasis. Superscripts are the references. In parentheses are the types of c-erbB-2 activation. P values are interpreted as in Table 3.

A second problem is that various types of breast carcinoma are grouped together in many survival studies. Because the current literature suggests that c-erbB-2 activation is infrequent in lobular carcinoma, studies that combine infiltrating ductal and lobular carcinomas may dilute the prognostic effect of c-erbB-2 activation in ductal tumors. In addition, most studies do not analyze inflammatory breast carcinoma separately. This condition frequently shows c-erbB-2 activation and has a worse prognosis than the usual mammary carcinoma, but it is an uncommon lesion.

A third potential problem is the paucity of studies that attempt to correlate c-erbB-2 activation with clinical outcome in subsets of breast carcinoma without metastasis. Two recent abstracts reported that in patients without lymph node metastasis who had various risk factors for recurrence (such as large tumor size and absence of estrogen receptors), c-erbB-2 overexpression predicted early recurrence.<sup>23,27</sup> In patients with ductal carcinoma in situ, one small study found no association between tumor recurrence and c-erbB-2 activation.<sup>40</sup>

A fourth problem is the lack of data regarding whether the prognosis correlates better with c-erbB-2 DNA amplification or with mRNA or protein overproduction. Most studies that find a correlation between c-erbB-2 activa-

tion and poor patient outcome measure *c-erbB-2* DNA amplification (Table 5), and breast carcinoma patients with greater amplification of *c-erbB-2* may have poorer survival.<sup>70,81</sup> Recent studies suggest that amplification has more prognostic power than overproduction,<sup>17,34,35</sup> but the clinical significance of *c-erbB-2* overproduction without DNA amplification deserves further research.<sup>17,35</sup> Few studies have attempted to correlate patient outcome with *c-erbB-2* mRNA overproduction, and many studies of *c-erbB-2* protein overproduction use relatively less reliable methods such as immunohistochemical studies with polyclonal antibodies.

#### Comparison of *c-erbB-2* Activation With Other Oncogenes in Breast Carcinoma

Other oncogenes that may have prognostic implications in human breast cancer are reviewed elsewhere.<sup>71,102</sup> This section will be restricted to a comparison between the clinical relevance of *c-erbB-2* and these other oncogenes.

The *c-myc* gene is often activated in breast carcinomas, but *c-myc* activation generally has less prognostic importance than *c-erbB-2* activation.<sup>83,84,77,87,88</sup> One study found a correlation between increased mRNAs of *c-erbB-2* and *c-myc*, although other reports have not confirmed this.<sup>34,103</sup> Subsequent research, however, could demonstrate a subset of breast carcinomas in which *c-myc* has more prognostic importance than *c-erbB-2*.

The gene *c-erbB-1* for the epidermal growth factor receptor (EGFR) is homologous with *c-erbB-2* but is infrequently amplified in breast carcinomas.<sup>70</sup> Overproduction of EGFR, however, occurs more frequently than amplification and may correlate with a poor prognosis. In studies that have examined both *c-erbB-2* and EGFR in the same tumor, *c-erbB-2* has a stronger correlation with poor prognostic factors.<sup>35,82</sup> Studies have tended to show no correlation between amplification of *c-erbB-2* and *c-erbB-1* or overproduction of *c-erbB-2* and EGFR, although at the molecular level EGFR mediates phosphorylation of *c-erbB-2* protein.<sup>51,82,83,84,103</sup> Recent reviews describe EGFR in breast carcinoma.<sup>83,100</sup>

The genes *c-erbA* and *ear-1* are homologous to the thyroid hormone receptor, and they are located adjacent to *c-erbB-2* on chromosome 17. These genes are frequently coamplified with *c-erbB-2* in breast carcinomas. The absence of *c-erbA* expression in breast carcinomas, however, is evidence against an important role for this gene in breast neoplasia.<sup>82</sup> Amplification of *c-erbB-2* can occur without *ear-1* amplification, and these tumors have a decreased survival that is similar to tumors with both *c-erbB-2* and *ear-1* amplification.<sup>87</sup> Consequently, *c-erbB-2* amplification seems to be more important than amplification of *c-erbA* or *ear-1*.

Other genes also have been compared with *c-erbB-2* activation in breast carcinomas. One study found a significant correlation between increased *c-erbB-2* mRNA and increased mRNAs of *fos*, platelet-derived growth factor chain A, and *Ki-ras*.<sup>102</sup> Allelic deletion of *c-Ha-ras* may indicate a poorer prognosis in breast carcinoma,<sup>81</sup> but it has not been compared with *c-erbB-2* activation. Some studies have suggested a correlation between advanced stage or recurrence of breast carcinoma and activation of any one of several oncogenes.<sup>81,103</sup>



## ACTIVATION OF c-erbB-2 IN NON-MAMMARY TISSUES

## Incidence of c-erbB-2 Activation in Non-Mammary Tissues

Table 7 summarizes the normal tissues in which c-erbB-2 expression has been detected, usually with immunohistochemical methods using polyclonal anti-

TABLE 7. PRESENCE OR ABSENCE OF c-erbB-2 mRNA OR c-erbB-2 PROTEIN IN NORMAL HUMAN TISSUES

| Tissues With<br>c-erbB-2<br>mRNA <sup>a</sup> | Tissues Producing<br>c-erbB-2 Protein <sup>a</sup>  | Tissues Lacking<br>c-erbB-2 mRNA | Tissues Lacking<br>c-erbB-2 Protein  |
|---|---|----------------------------------|--|
| Skin <sup>24</sup>                            | Epidermis <sup>24</sup><br>External root sheath <sup>24</sup><br>Eccrine sweat gland <sup>24</sup><br>Fetal oral mucosa <sup>22</sup><br>Fetal esophagus <sup>22</sup>      |                                  | Postnatal oral mucosa <sup>22</sup><br>Postnatal esophagus <sup>22</sup>   |
| Stomach <sup>24</sup>                         | Stomach <sup>22,23</sup><br>Fetal Intestine <sup>22a</sup>  |                                  |  |
| Jejunum <sup>24</sup>                         | Small Intestine <sup>22,23</sup>  |                                  |  |
| Colon <sup>24</sup>                           | Colon <sup>22,23</sup>  |                                  |  |
| Kidney <sup>24</sup>                          | Fetal Kidney <sup>22a</sup>   | Kidneys <sup>104</sup>           | Glomerulus <sup>22</sup><br>Postnatal Bowman's capsule <sup>22</sup><br>Postnatal proximal tubule <sup>22</sup>  |
|   | Fetal proximal tubule <sup>22</sup><br>Distal tubule <sup>22</sup><br>Fetal collecting duct <sup>22</sup><br>Fetal renal pelvis <sup>22</sup><br>Fetal ureter <sup>22</sup> |                                  | Postnatal collecting duct <sup>22</sup><br>Postnatal renal pelvis <sup>22</sup><br>Postnatal fetal ureter <sup>22</sup>  |
| Liver <sup>24</sup>                           | Hepatocytes <sup>22</sup><br>Pancreatic acini <sup>22</sup><br>Pancreatic ducts <sup>22,24</sup><br>Endocrine cells of islets<br>of Langerhans <sup>22</sup>                |                                  | Liver <sup>22,23</sup><br><br><br>Pancreatic islets <sup>22</sup>  |
| Lung <sup>24</sup>                            | Fetal trachea <sup>22</sup><br>Fetal bronchioles <sup>22</sup><br>Bronchioles <sup>22</sup>   |                                  | Postnatal trachea <sup>22</sup><br>Postnatal bronchioles <sup>22</sup><br><br>Postnatal alveoli <sup>22,23</sup>   |
| Fetal brain <sup>24</sup>                     | Fetal ganglion cells <sup>22</sup>  |                                  | Postnatal brain <sup>22</sup><br>Postnatal ganglion cells <sup>22</sup>  |
| Thyroid <sup>1</sup>                          |   |                                  |  |
| Uterus <sup>24</sup>                          | Ovary <sup>12</sup><br>Blood vessels <sup>22</sup>  |                                  | Endothelium <sup>22</sup>  |
| Placenta <sup>24</sup>                        |   |                                  | Adrenocortical cells <sup>22</sup><br>Postnatal thymus <sup>22</sup><br>Fibroblasts <sup>22</sup><br>Smooth muscle cells <sup>22</sup><br>Cardiac muscle cells <sup>22</sup> |

<sup>a</sup>This protein study used Western blots; the rest used immunohistochemical methods.

bodies. Only a few studies have been performed, and some of these do not demonstrate convincing cell membrane reactivity in the published photographs. The interpretations in these studies, however, are listed, with the caveat that these findings should be confirmed by immunoprecipitation or Western or RNA blots. Production of *c-erbB-2* has been identified in normal epithelium of the gastrointestinal tract and skin. Discrepancies regarding *c-erbB-2* protein in other tissues could be due, at least in part, to differences in techniques.

The data on *c-erbB-2* activation in various non-mammary neoplasms should be interpreted with caution, because only small numbers of tumors have been studied, usually by immunohistochemical methods using polyclonal antibodies. Studies using cell lines have been excluded, because cell culture can induce amplification and overexpression of other genes, although this has not been documented for *c-erbB-2*.

Activation of *c-erbB-2* has been identified in 32 percent (64 of 203) of ovarian carcinomas in eight studies (Table 8). One abstract<sup>45</sup> stated that ovarian carcinomas contained significantly more *c-erbB-2* protein than ovarian non-epithelial malignancies. Another report<sup>46</sup> showed that 12 percent of ovarian carcinomas had *c-erbB-2* overproduction without amplification.

Activation of *c-erbB-2* has been identified in 20 percent (40 of 198) of gastric adenocarcinomas in seven studies, including 33 percent (21 of 64) of

TABLE 8. *c-erbB-2* ACTIVATION IN HUMAN GYNECOLOGIC TUMORS\*

| Tumor Type                               | <i>c-erbB-2</i> DNA Amplification  | <i>c-erbB-2</i> mRNA Overproduction | <i>c-erbB-2</i> Protein Overproduction      |
|--|--|-------------------------------------|---|
| Ovary—carcinoma, not otherwise specified | 31/120, <sup>41</sup> 1/11, <sup>47</sup><br>0/5, <sup>107</sup> 0/5, <sup>44</sup> 0/3, <sup>112</sup><br>0/2, <sup>72</sup> 0/1 <sup>110</sup> | 23/87 <sup>41</sup>                 | 23/73, <sup>12</sup><br>38/72 <sup>41</sup> |
| Ovary—serous (papillary) carcinoma       | 2/7, <sup>110</sup> 1/7, <sup>112</sup> 0/8 <sup>72</sup>  | —                                   | —   |
| Ovary—endometrioid carcinoma             | 0/3 <sup>110</sup>   | —                                   | —   |
| Ovary—mucinous carcinoma                 | 1/2, <sup>110</sup> 0/1 <sup>72</sup>  | —                                   | —   |
| Ovary—clear cell carcinoma               | 0/2, <sup>112</sup> 0/1 <sup>72</sup>  | —                                   | —   |
| Ovary—mixed epithelial carcinoma         | 0/2 <sup>72</sup>  | —                                   | —   |
| Ovary—endometrioid borderline tumor      | 0/1 <sup>72</sup>  | —                                   | —   |
| Ovary—mucinous borderline tumor          | 0/3 <sup>72</sup>  | —                                   | —   |
| Ovary—serous cystadenoma                 | 0/4 <sup>72</sup>  | —                                   | —   |
| Ovary—mucinous cystadenoma               | 0/2 <sup>72</sup>  | —                                   | —   |
| Ovary—sclerosing stromal tumor           | 0/1 <sup>72</sup>  | —                                   | —   |
| Ovary—fibrothecoma                       | 0/1 <sup>72</sup>  | —                                   | —   |
| Uterus—endometrial adenocarcinoma        | 0/4, <sup>44</sup> 0/1 <sup>110</sup>  | —                                   | —   |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods.

intestinal or tubular subtypes and 9 percent (4 of 47) of diffuse or signet ring cell subtypes (Table 9). Activation of c-erbB-2 has been detected in 2 percent (6 of 281) of colorectal carcinomas, although an additional immunohistochemical study detected c-erbB-2 protein in seven of eight tissues fixed in Bouin's solution. One study found greater immunohistochemical reactivity for c-erbB-2 protein in colonic adenomatous polyps than in the adjacent normal epithelium, using Bouin's fixative. Lesions with anaplastic features and progression to invasive carcinoma tended to show decreased immunohistochemical reactivity for c-erbB-2 protein.<sup>22</sup> Hepatocellular carcinomas (13 of 14 cases) and cholangiocarcinomas (46 of 63 cases) reacted with antibodies against c-erbB-2 in one study, but some of these "positive" cases showed only diffuse cytoplasmic staining, which

TABLE 9. c-erbB-2 ACTIVATION IN HUMAN GASTROINTESTINAL TUMORS\*

| Tumor Type  | c-erbB-2 DNA Amplification  | c-erbB-2 Protein Overproduction        |
|---|---|--|
| Esophagus—squamous cell carcinoma                   | 0/1 <sup>107</sup>  | 0/1 <sup>11</sup>                      |
| Stomach—carcinoma, poorly differentiated            | 0/22 <sup>108</sup>   | —                                      |
| Stomach—adenocarcinoma                              | 2/24, <sup>84</sup> 2/3, <sup>107</sup> 2/3, <sup>111</sup><br>2/8, <sup>87</sup> 0/1 <sup>108</sup>  | 4/27, <sup>20</sup> 3/10 <sup>81</sup> |
| Stomach—carcinoma, intestinal or tubular type       | 5/10 <sup>108</sup>   | 16/64 <sup>20</sup>                    |
| Stomach—carcinoma, diffuse or signet ring cell type | 0/2 <sup>108</sup>  | 4/45 <sup>20</sup>                     |
| Colorectum—carcinoma                                | 2/49, <sup>84</sup> 1/45, <sup>111</sup><br>1/45, <sup>87</sup> 1/45, <sup>80</sup><br>0/40, <sup>81</sup> 0/32, <sup>107</sup> 0/3 <sup>82</sup> | 1/22, <sup>20</sup> 7/6 <sup>22b</sup> |
| Colon—villous adenoma                               | 0/1 <sup>80</sup>   | —                                      |
| Colon—tubulovillous adenoma                         | 0/5 <sup>80</sup>   | —                                      |
| Colon—tubular adenoma                               | 0/7 <sup>80</sup>   | 19/19 <sup>22b</sup>                   |
| Colon—hyperplastic polyp                            | 0/1 <sup>80</sup>   | —                                      |
| Intestine—leiomyosarcoma                            | —   | 0/1 <sup>81</sup>                      |
| Hepatocellular carcinoma                            | 0/12 <sup>111</sup>   | 12/14, <sup>20</sup> 0/2 <sup>81</sup> |
| Hepatoblastoma                                      | 0/1 <sup>87</sup>   | —                                      |
| Cholangiocarcinoma                                  | —   | 46/63 <sup>20</sup>                    |
| Pancreas—adenocarcinoma                             | —   | 2/80, <sup>41c</sup> 0/2 <sup>81</sup> |
| Pancreas—acinar carcinoma                           | —   | 0/1 <sup>81</sup>                      |
| Pancreas—clear cell carcinoma                       | —   | 0/2 <sup>81</sup>                      |
| Pancreas—large cell carcinoma                       | —   | 0/3 <sup>81</sup>                      |
| Pancreas—signet ring carcinoma                      | —   | 0/1 <sup>81</sup>                      |
| Pancreas—chronic inflammation                       | —   | 0/14 <sup>41c</sup>                    |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods. No studies analyzed for c-erbB-2 mRNA.

<sup>b</sup>Tissues fixed in Bouin's solution.

<sup>c</sup>Only cases with distinct membrane staining are interpreted as showing c-erbB-2 overproduction.

TABLE 10. *c-erbB-2* ACTIVATION IN HUMAN PULMONARY TUMORS\*

| Tumor Type               | <i>c-erbB-2</i> DNA Amplification   | <i>c-erbB-2</i> Protein Overproduction |
|--------------------------|---|--|
| Non-small cell carcinoma | 2/80, <sup>75</sup> 0/60 <sup>81</sup>  | 1/84 <sup>82</sup>                     |
| Epidermoid carcinoma     | 0/13, <sup>82</sup> 0/10, <sup>83</sup> 0/6 <sup>84</sup>   | 3/6 <sup>85</sup>                      |
| Adenocarcinoma           | 0/21, <sup>86</sup> 1/13, <sup>87</sup> 0/7, <sup>111</sup> 0/7, <sup>87</sup> 0/3 <sup>107</sup> | 4/12 <sup>88</sup>                     |
| Large cell carcinoma     | 0/8, <sup>89</sup> 0/6 <sup>90</sup>  | —                                      |
| Small cell carcinoma     | —   | 0/26, <sup>91</sup> 0/3 <sup>92</sup>  |
| Carcinoid tumor          | 0/1 <sup>93</sup>   | 0/3 <sup>94</sup>                      |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods. No studies analyzed for *c-erbB-2* mRNA.

does not indicate *c-erbB-2* activation in breast neoplasms.<sup>85</sup> Also, some pancreatic carcinomas and chronic pancreatitis tissue had cytoplasmic immunohistochemical reactivity for *c-erbB-2* protein, in addition to the rare case of pancreatic adenocarcinoma with distinct cell membrane staining.<sup>81</sup>

Tables 10 through 14 summarize the studies of *c-erbB-2* activation in other neoplasms. The *c-erbB-2* oncogene is not activated in most of these tumors. Activation of *c-erbB-2* has been detected in 1 percent (4 of 299) of pulmonary non-small cell carcinomas in nine studies, although one additional report<sup>80</sup> found *c-erbB-2* protein overproduction in 41 percent (7 of 17). Renal cell carcinoma had *c-erbB-2* activation in 7 percent (2 of 30) in four studies. Overproduction of *c-erbB-2* protein was described in one transitional cell carcinoma of the urinary bladder, a grade 2 papillary lesion.<sup>83</sup> Squamous cell carcinoma and basal cell carcinoma of the skin may contain *c-erbB-2* protein, but it is not clear

TABLE 11. *c-erbB-2* ACTIVATION IN HUMAN HEMATOLOGIC PROLIFERATIONS\*

| Tumor Type                   | <i>c-erbB-2</i> DNA Amplification     | <i>c-erbB-2</i> mRNA Overproduction | <i>c-erbB-2</i> Protein Overproduction |
|------------------------------|---------------------------------------|-------------------------------------|--|
| Hematologic malignancies     | 0/23 <sup>111</sup>                   | —                                   | —                                      |
| Malignant lymphoma           | 0/9, <sup>87</sup> 0/3 <sup>107</sup> | 0/1 <sup>1</sup>                    | 0/15 <sup>81</sup>                     |
| Acute leukemia               | 0/14 <sup>87</sup>                    | —                                   | —                                      |
| Acute lymphoblastic leukemia | 0/1 <sup>107</sup>                    | —                                   | —                                      |
| Acute myeloblastic leukemia  | 0/3 <sup>107</sup>                    | —                                   | —                                      |
| Chronic leukemia             | 0/19 <sup>87</sup>                    | —                                   | —                                      |
| Chronic lymphocytic leukemia | 0/6 <sup>107</sup>                    | —                                   | —                                      |
| Chronic myelogenous leukemia | 0/8 <sup>107</sup>                    | —                                   | —                                      |
| Myeloproliferative disorder  | 0/1 <sup>87</sup>                     | —                                   | —                                      |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods.

TABLE 12. c-erbB-2 ACTIVATION IN HUMAN TUMORS OF SOFT TISSUE AND BONE\*

| Tumor Type                     | c-erbB-2 DNA Amplification              |
|--------------------------------|---|
| Sarcoma                        | 0/10, <sup>111</sup> 0/8 <sup>112</sup> |
| Malignant fibrous histiocytoma | 0/1 <sup>112</sup>                      |
| Liposarcoma                    | 0/3 <sup>112</sup>                      |
| Pleomorphic sarcoma            | 0/1 <sup>112</sup>                      |
| Rhabdomyosarcoma               | 0/1 <sup>112</sup>                      |
| Osteogenic sarcoma             | 0/2, <sup>112</sup> 0/2 <sup>113</sup>  |
| Chondrosarcoma                 | 0/1 <sup>112</sup>                      |
| Ewing's sarcoma                | 0/1 <sup>112</sup>                      |
| Schwannoma                     | 0/1 <sup>112</sup>                      |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. No studies analyzed for c-erbB-2 mRNA or c-erbB-2 protein.

whether the protein level is increased over that of normal skin.<sup>33</sup> Thyroid carcinomas and adenomas can have low levels of increased c-erbB-2 mRNA. One abstract described low-level c-erbB-2 DNA amplification in one of ten salivary gland pleomorphic adenomas.<sup>34</sup>

#### Correlation of c-erbB-2 Activation With Patient Outcome

Very few studies have attempted to correlate c-erbB-2 activation in non-mammary tumors with outcome. Slamon et al<sup>31</sup> showed that c-erbB-2 amplification or overexpression in ovarian carcinomas correlates with decreased survival, especially when marked activation is present. However, they did not report the stage, histological grade, or histological subtype of these neoplasms. Another study of stages III and IV ovarian carcinomas found a correlation between decreased survival and c-erbB-2 protein overproduction, but not between survival and histological grade.<sup>35</sup> One abstract stated that c-erbB-2 protein overproduction in 10 of 16 pulmonary adenocarcinomas correlated with decreased disease-free interval.<sup>36</sup> Another abstract described a tendency for immunohisto-

TABLE 13. c-erbB-2 ACTIVATION IN HUMAN TUMORS OF THE URINARY TRACT\*

| Tumor Type                  | c-erbB-2 DNA Amplification                               | c-erbB-2 mRNA Overproduction | c-erbB-2 Protein Overproduction |
|-----------------------------|--|------------------------------|---------------------------------|
| Kidney—renal cell carcinoma | 1/6, <sup>37</sup> 1/4, <sup>107</sup> 0/5 <sup>34</sup> | 0/16 <sup>104</sup>          | —                               |
| Wilms' tumor                | 0/4 <sup>37</sup>  | —                            | —                               |
| Prostate—adenocarcinoma     | —  | —                            | 0/23 <sup>38</sup>              |
| Urinary bladder—carcinoma   | —  | —                            | 1/48 <sup>39</sup>              |

\*Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods.

TABLE 14. *c-erbB-2* ACTIVATION IN MISCELLANEOUS HUMAN TUMORS<sup>a</sup>

| Tumor Type                                  | <i>c-erbB-2</i><br>DNA<br>Amplification                  | <i>c-erbB-2</i> mRNA<br>Overproduction | <i>c-erbB-2</i><br>Protein<br>Over-<br>production |
|---|--|--|---|
| Skin—malignant melanoma                     |  | —                                      | 0/10 <sup>28</sup>                                |
| Skin, head and neck—squamous cell carcinoma | 0/7 <sup>27</sup>  | —                                      | —   |
| Site not stated—squamous cell carcinoma     | 0/3, <sup>27</sup> 0/2 <sup>28</sup>                     | —                                      | —   |
| Salivary gland—adenocarcinoma               | 1/1 <sup>28</sup>  | —                                      | —   |
| Parotid gland—adenoid cystic carcinoma      | —  | —                                      | 0/1 <sup>28</sup>                                 |
| Thyroid—anaplastic carcinoma                | 0/1 <sup>1</sup>   | 0/1 <sup>1</sup>                       | —   |
| Thyroid—papillary carcinoma                 | 0/3 <sup>1</sup>   | 3 (low levels)/5 <sup>1</sup>          | —   |
| Thyroid—adenocarcinoma                      | 0/1 <sup>28</sup>  | —                                      | —   |
| Thyroid—adenoma                             | 0/2 <sup>1</sup>   | 1 (low levels)/2 <sup>1</sup>          | —   |
| Neuroblastoma                               | 0/35, <sup>29</sup> 0/3, <sup>27</sup> 0/1 <sup>28</sup> | —                                      | —   |
| Meningioma                                  | 0/2 <sup>27</sup>  | —                                      | —   |

<sup>a</sup>Shown as number of cases with amplification (or overproduction)/total number of cases studied; reference is given as superscript. All protein studies used immunohistochemical methods.

chemical reactivity for *c-erbB-2* protein to correlate with higher grades of prostatic adenocarcinoma.<sup>27</sup> Additional prognostic studies of ovarian carcinomas and other neoplasms are needed.

## SUMMARY

Activation of the *c-erbB-2* oncogene can occur by amplification of *c-erbB-2* DNA and by overproduction of *c-erbB-2* mRNA and *c-erbB-2* protein. Approximately 20 percent of breast carcinomas show evidence of *c-erbB-2* activation, which correlates with a poor prognosis primarily in patients with metastasis to axillary lymph nodes. Studies that have attempted to correlate *c-erbB-2* activation with other prognostic factors in breast carcinoma have reported conflicting conclusions. The pathologic and clinical significance of *c-erbB-2* activation in other neoplasms is unclear and should be assessed by additional studies.

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### EXHIBIT 3

#### DECLARATION OF PAUL POLAKIS, Ph.D.

I, Paul Polakis, Ph.D., declare and say as follows:

1. I was awarded a Ph.D. by the Department of Biochemistry of the Michigan State University in 1984. My scientific Curriculum Vitae is attached to and forms part of this Declaration (Exhibit A).
2. I am currently employed by Genentech, Inc. where my job title is Staff Scientist. Since joining Genentech in 1999, one of my primary responsibilities has been leading Genentech's Tumor Antigen Project, which is a large research project with a primary focus on identifying tumor cell markers that find use as targets for both the diagnosis and treatment of cancer in humans.
3. As part of the Tumor Antigen Project, my laboratory has been analyzing differential expression of various genes in tumor cells relative to normal cells. The purpose of this research is to identify proteins that are abundantly expressed on certain tumor cells and that are either (i) not expressed, or (ii) expressed at lower levels, on corresponding normal cells. We call such differentially expressed proteins "tumor antigen proteins". When such a tumor antigen protein is identified, one can produce an antibody that recognizes and binds to that protein. Such an antibody finds use in the diagnosis of human cancer and may ultimately serve as an effective therapeutic in the treatment of human cancer.
4. In the course of the research conducted by Genentech's Tumor Antigen Project, we have employed a variety of scientific techniques for detecting and studying differential gene expression in human tumor cells relative to normal cells, at genomic DNA, mRNA and protein levels. An important example of one such technique is the well known and widely used technique of microarray analysis which has proven to be extremely useful for the identification of mRNA molecules that are differentially expressed in one tissue or cell type relative to another. In the course of our research using microarray analysis, we have identified approximately 200 gene transcripts that are present in human tumor cells at significantly higher levels than in corresponding normal human cells. To date, we have generated antibodies that bind to about 30 of the tumor antigen proteins expressed from these differentially expressed gene transcripts and have used these antibodies to quantitatively determine the level of production of these tumor antigen proteins in both human cancer cells and corresponding normal cells. We have then compared the levels of mRNA and protein in both the tumor and normal cells analyzed.
5. From the mRNA and protein expression analyses described in paragraph 4 above, we have observed that there is a strong correlation between changes in the level of mRNA present in any particular cell type and the level of protein

expressed from that mRNA in that cell type. In approximately 80% of our observations we have found that increases in the level of a particular mRNA correlates with changes in the level of protein expressed from that mRNA when human tumor cells are compared with their corresponding normal cells.

6. Based upon my own experience accumulated in more than 20 years of research, including the data discussed in paragraphs 4 and 5 above and my knowledge of the relevant scientific literature, it is my considered scientific opinion that for human genes, an increased level of mRNA in a tumor cell relative to a normal cell typically correlates to a similar increase in abundance of the encoded protein in the tumor cell relative to the normal cell. In fact, it remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein. While there have been published reports of genes for which such a correlation does not exist, it is my opinion that such reports are exceptions to the commonly understood general rule that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

Dated: 5/07/04

By: Paul Polakis

Paul Polakis, Ph.D.

## CURRICULUM VITAE

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### EDUCATION:

Ph.D., Biochemistry, Department of Biochemistry,  
Michigan State University (1984)

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### PROFESSIONAL EXPERIENCE:

|              |   |
|--------------|---|
| 2002-present | Staff Scientist, Genentech, Inc<br>S. San Francisco, CA   |
| 1999- 2002   | Senior Scientist, Genentech, Inc.,<br>S. San Francisco, CA  |
| 1997 -1999   | Research Director<br>Onyx Pharmaceuticals, Richmond, CA   |
| 1992- 1996   | Senior Scientist, Project Leader, Onyx<br>Pharmaceuticals, Richmond, CA                                   |
| 1991-1992    | Senior Scientist, Chiron Corporation,<br>Emeryville, CA.  |
| 1989-1991    | Scientist, Cetus Corporation, Emeryville CA.  |
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1984-1985

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### **PUBLICATIONS:**

1. **Polakis, P. G. and Wilson, J. E.** 1982 Purification of a Highly Bindable Rat Brain Hexokinase by High Performance Liquid Chromatography. **Biochem. Biophys. Res. Commun.** 107, 937-943.
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# Genome-wide Study of Gene Copy Numbers, Transcripts, and Protein Levels in Pairs of Non-invasive and Invasive Human Transitional Cell Carcinomas\*

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Gain and loss of chromosomal material is characteristic of bladder cancer, as well as malignant transformation in general. The consequences of these changes at both the transcription and translation levels is at present unknown partly because of technical limitations. Here we have attempted to address this question in pairs of non-invasive and invasive human bladder tumors using a combination of technology that included comparative genomic hybridization, high density oligonucleotide array-based monitoring of transcript levels (5800 genes), and high resolution two-dimensional gel electrophoresis. The results showed that there is a gene dosage effect that in some cases superimposes on other regulatory mechanisms. This effect depended ( $p < 0.015$ ) on the magnitude of the comparative genomic hybridization change. In general (18 of 23 cases), chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts. Areas with loss of DNA, on the other hand, showed either reduced or unaltered transcript levels. Because most proteins resolved by two-dimensional gels are unknown it was only possible to compare mRNA and protein alterations in relatively few cases of well focused abundant proteins. With few exceptions we found a good correlation ( $p < 0.005$ ) between transcript alterations and protein levels. The implications, as well as limitations, of the approach are discussed. *Molecular & Cellular Proteomics* 1:37-45, 2002.

Aneuploidy is a common feature of most human cancers (1), but little is known about the genome-wide effect of this

phenomenon at both the transcription and translation levels. High throughput array studies of the breast cancer cell line BT474 has suggested that there is a correlation between DNA copy numbers and gene expression in highly amplified areas (2), and studies of individual genes in solid tumors have revealed a good correlation between gene dose and mRNA or protein levels in the case of c-erb-B2, *cyclin d1*, *ems1*, and N-myc (3-5). However, a high cyclin D1 protein expression has been observed without simultaneous amplification (4), and a low level of c-myc copy number increase was observed without concomitant c-myc protein overexpression (6).

In human bladder tumors, karyotyping, fluorescent *in situ* hybridization, and comparative genomic hybridization (CGH)<sup>†</sup> have revealed chromosomal aberrations that seem to be characteristic of certain stages of disease progression. In the case of non-invasive pTa transitional cell carcinomas (TCCs), this includes loss of chromosome 9 or parts of it, as well as loss of Y in males. In minimally invasive pT1 TCCs, the following alterations have been reported: 2q-, 11p-, 1q+, 11q13+, 17q+, and 20q+ (7-12). It has been suggested that these regions harbor tumor suppressor genes and oncogenes; however, the large chromosomal areas involved often contain many genes, making meaningful predictions of the functional consequences of losses and gains very difficult.

In this investigation we have combined genome-wide technology for detecting genomic gains and losses (CGH) with gene expression profiling techniques (microarrays and proteomics) to determine the effect of gene copy number on transcript and protein levels in pairs of non-invasive and invasive human bladder TCCs.

## EXPERIMENTAL PROCEDURES

**Material**—Bladder tumor biopsies were sampled after informed consent was obtained and after removal of tissue for routine pathology examination. By light microscopy tumors 335 and 532 were staged by an experienced pathologist as pTa (superficial papillary).

\* The abbreviations used are: CGH, comparative genomic hybridization; TCC, transitional cell carcinoma; LOH, loss of heterozygosity; PA-FABP, peroxisome-associated fatty acid-binding protein; 2D, two-dimensional.

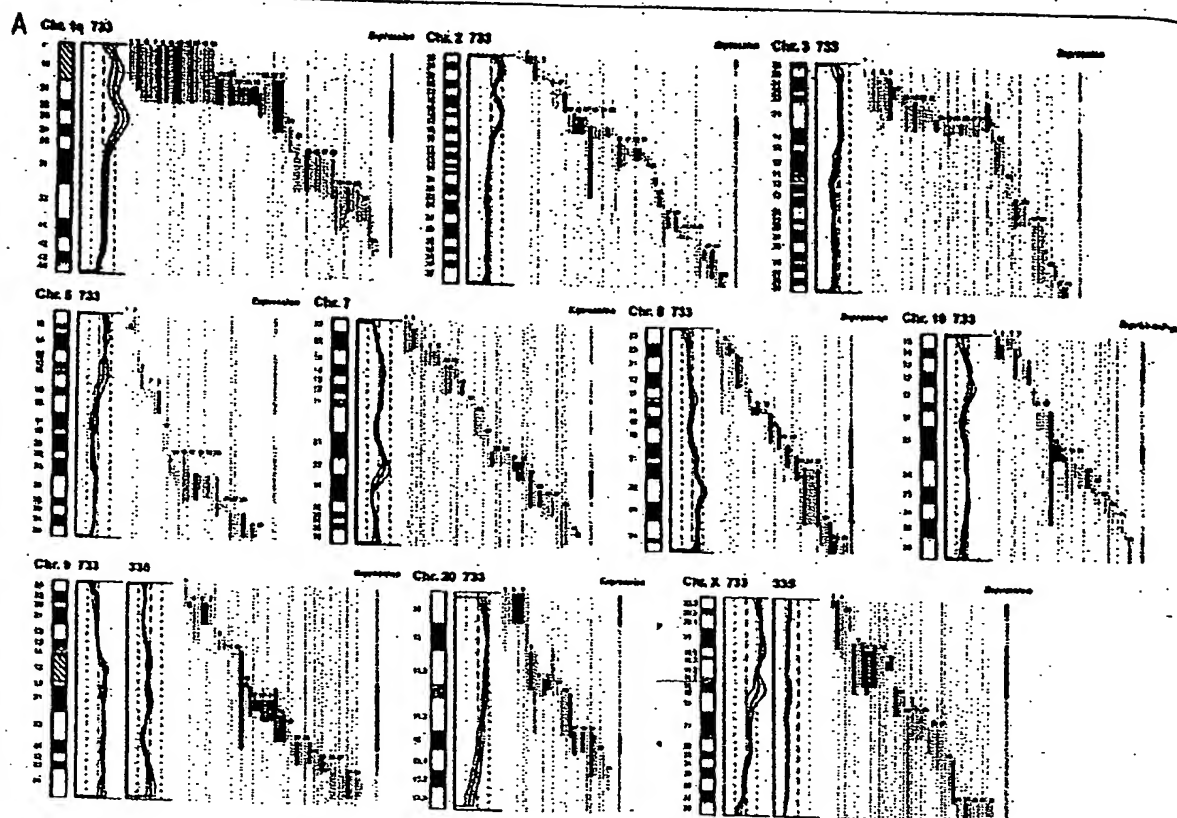
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# Gene Copy Numbers, Transcripts, and Protein Levels



**FIG. 1.** DNA copy number and mRNA expression level. Shown from left to right are chromosome (Chr.), CGH profiles, gene location and expression level of specific genes, and overall expression level along the chromosome. **A**, expression of mRNA in invasive tumor 733 as compared with the non-invasive counterpart tumor 335. **B**, expression of mRNA in invasive tumor 827 compared with the non-invasive counterpart tumor 335. The average fluorescent signal ratio between tumor DNA and normal DNA is shown along the length of the chromosome (left). The bold curve in the ratio profile represents a mean of four chromosomes and is surrounded by thin curves indicating one standard deviation. The central vertical line (broken) indicates a ratio value of 1 (no change), and the vertical lines next to it (dotted) indicate a ratio of 0.5 (left) and 2.0 (right). In chromosomes where the non-invasive tumor 335 used for comparison showed alterations in DNA content, the ratio profile of that chromosome is shown to the right of the invasive tumor profile. The colored bars represent one gene each, identified by the running numbers above the bars (the name of the gene can be seen at [www.MDL.DK/sdata.html](http://www.MDL.DK/sdata.html)). The bars indicate the purported location of the gene, and the colors indicate the expression level of the gene in the invasive tumor compared with the non-invasive counterpart; >2-fold increase (black), >2-fold decrease (blue), no significant change (orange). The bar to the far right, entitled Expression shows the resulting change in expression along the chromosome; the colors indicate that at least half of the genes were up-regulated (black), at least half of the genes down-regulated (blue), or more than half of the genes were unchanged (orange). If a gene was absent in one of the samples and present in another, it was regarded as more than a 2-fold change. A 2-fold level was chosen as this corresponded to one standard deviation in a double determination of ~1800 genes. Centromeres and heterochromatic regions were excluded from data analysis.

grade I and II, respectively, tumors 733 and 827 were staged as pT1 (invasive into submucosa), 733 was staged as solid, and 827 was staged as papillary, both grade III.

**mRNA Preparation**—Tissue biopsies, obtained fresh from surgery, were embedded immediately in a sodium-guanidinium thiocyanate solution and stored at  $-80^{\circ}\text{C}$ . Total RNA was isolated using the RNeasy B RNA isolation method (WAK-Chemie Medical GMBH). poly(A)<sup>+</sup> RNA was isolated by an oligo(dT) selection step (Oligotex mRNA kit; Qiagen).

**cRNA Preparation**—1  $\mu\text{g}$  of mRNA was used as starting material. The first and second strand cDNA synthesis was performed using the SuperScript<sup>®</sup> choice system (Invitrogen) according to the manufacturer's instructions but using an oligo(dT) primer containing a T7 RNA polymerase binding site. Labeled cRNA was prepared using the MEGAScript<sup>®</sup> *in vitro* transcription kit (Ambion). Biotin-labeled CTP and

UTP (Enzo) was used, together with unlabeled NTPs in the reaction. Following the *in vitro* transcription reaction, the unincorporated nucleotides were removed using RNeasy columns (Qiagen).

**Array Hybridization and Scanning**—Array hybridization and scanning was modified from a previous method (13). 10  $\mu\text{g}$  of cRNA was fragmented at  $94^{\circ}\text{C}$  for 35 min in buffer containing 40 mM Tris acetate, pH 8.1, 100 mM KOAc, 30 mM MgOAc. Prior to hybridization, the fragmented cRNA in a 6 $\times$  SSPE-T hybridization buffer (1 M NaCl, 10 mM Tris, pH 7.6, 0.005% Triton), was heated to  $95^{\circ}\text{C}$  for 5 min, subsequently cooled to  $40^{\circ}\text{C}$ , and loaded onto the Affymetrix probe array cartridge. The probe array was then incubated for 16 h at  $40^{\circ}\text{C}$  at constant rotation (80 rpm). The probe array was exposed to 10 washes in 6 $\times$  SSPE-T at  $25^{\circ}\text{C}$  followed by 4 washes in 0.5 $\times$  SSPE-T at  $50^{\circ}\text{C}$ . The biotinylated cRNA was stained with a streptavidin-phycoerythrin conjugate, 10  $\mu\text{g}/\text{ml}$  (Molecular Probes) in 6 $\times$  SSPE-T.



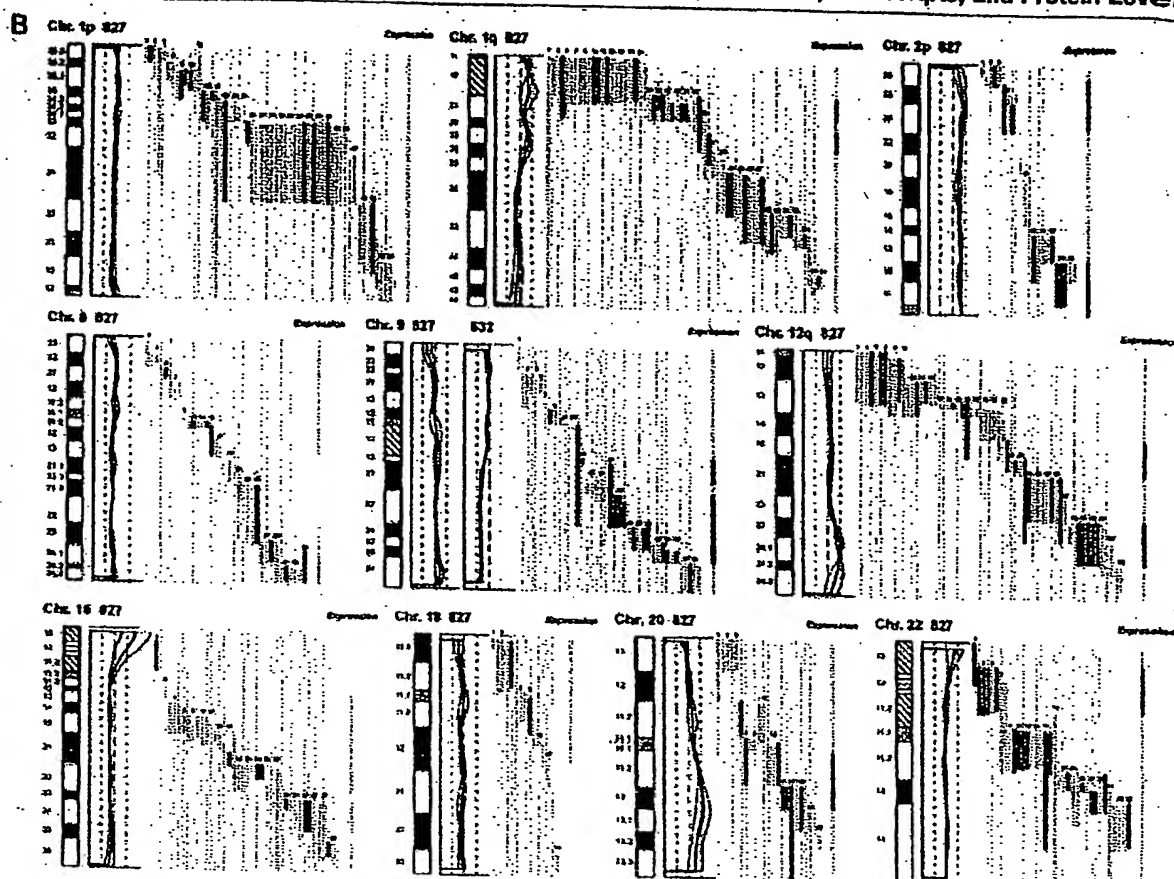


FIG. 1—continued

for 30 min at 25 °C followed by 10 washes in 6× SSPE-T at 25 °C. The probe arrays were scanned at 560 nm using a confocal laser scanning microscope (made for Affymetrix by Hewlett-Packard). The readings from the quantitative scanning were analyzed by Affymetrix gene expression analysis software.

**Microsatellite Analysis**—Microsatellite Analysis was performed as described previously (14). Microsatellites were selected by use of [www.ncbi.nlm.nih.gov/genemap98](http://www.ncbi.nlm.nih.gov/genemap98), and primer sequences were obtained from the genome data base at [www.gdb.org](http://www.gdb.org). DNA was extracted from tumor and blood and amplified by PCR in a volume of 20  $\mu$ l for 35 cycles. The amplicons were denatured and electrophoresed for 3 h in an ABI Prism 377. Data were collected in the Gene Scan program for fragment analysis. Loss of heterozygosity was defined as less than 33% of one allele detected in tumor amplicons compared with blood.

**Proteomic Analysis**—TCCs were minced into small pieces and homogenized in a small glass homogenizer in 0.5 ml of lysis solution. Samples were stored at -20 °C until use. The procedure for 2D gel electrophoresis has been described in detail elsewhere (15, 16). Gels were stained with silver nitrate and/or Coomassie Brilliant Blue. Proteins were identified by a combination of procedures that included microsequencing, mass spectrometry, two-dimensional gel Western immunoblotting, and comparison with the master two-dimensional gel image of human keratinocyte proteins; see [blabase.dk/cgi-bin/cells](http://blabase.dk/cgi-bin/cells).

**CGH**—Hybridization of differentially labeled tumor and normal DNA to normal metaphase chromosomes was performed as described previously (10). Fluorescein-labeled tumor DNA (200 ng), Texas Red-

labeled reference DNA (200 ng), and human Col-1 DNA (20  $\mu$ g) were denatured at 37 °C for 5 min and applied to denatured normal metaphase slides. Hybridization was at 37 °C for 2 days. After washing, the slides were counterstained with 0.15  $\mu$ g/ml 4,6-diamidino-2-phenylindole in an anti-fade solution. A second hybridization was performed for all tumor samples using fluorescein-labeled reference DNA and Texas Red-labeled tumor DNA (inverse labeling) to confirm the aberrations detected during the initial hybridization. Each CGH experiment also included a normal control hybridization using fluorescein- and Texas Red-labeled normal DNA. Digital image analysis was used to identify chromosomal regions with abnormal fluorescence ratios, indicating regions of DNA gains and losses. The average green:red fluorescence intensity ratio profiles were calculated using four images of each chromosome (eight chromosomes total) with normalization of the green:red fluorescence intensity ratio for the entire metaphase and background correction. Chromosome identification was performed based on 4,6-diamidino-2-phenylindole banding patterns. Only images showing uniform high intensity fluorescence with minimal background staining were analyzed. All centromeres, p arms of acrocentric chromosomes, and heterochromatic regions were excluded from the analysis.

## RESULTS

**Comparative Genomic Hybridization**—The CGH analysis identified a number of chromosomal gains and losses in the

# Gene Copy Numbers, Transcripts, and Protein Levels

TABLE I  
Correlation between alterations detected by CGH and by expression monitoring

Top, CGH used as independent variable (if CGH alteration – what expression ratio was found); bottom, altered expression used as independent variable (if expression alteration – what CGH deviation was found).

| CGH alterations            | Tumor 733 vs. 335                                    |  | Concordance | CGH alterations            | Tumor 827 vs. 532                                   |  | Concordance |
|----------------------------|--|--|-------------|----------------------------|---|--|-------------|
|                            | Expression change clusters                           |  |             |                            | Expression change clusters                          |  |             |
| 13 Gain                    | 10 Up-regulation<br>0 Down-regulation<br>3 No change |  | 77%         | 10 Gain                    | 8 Up-regulation<br>0 Down-regulation<br>2 No change |  | 80%         |
| 10 Loss                    | 1 Up-regulation<br>5 Down-regulation<br>4 No change  |  | 50%         | 12 Loss                    | 3 Up-regulation<br>2 Down-regulation<br>7 No change |  | 17%         |
| Expression change clusters | Tumor 733 vs. 335                                    |  | Concordance | Expression change clusters | Tumor 827 vs. 532                                   |  | Concordance |
|                            | CGH alterations                                      |  |             |                            | CGH alterations                                     |  |             |
| 16 Up-regulation           | 11 Gain<br>2 Loss<br>3 No change                     |  | 69%         | 17 Up-regulation           | 10 Gain<br>5 Loss<br>2 No change                    |  | 59%         |
| 21 Down-regulation         | 1 Gain<br>8 Loss<br>12 No change                     |  | 38%         | 9 Down-regulation          | 0 Gain<br>3 Loss<br>6 No change                     |  | 33%         |
| 15 No change               | 3 Gain<br>3 Loss<br>9 No change                      |  | 60%         | 21 No change               | 1 Gain<br>3 Loss<br>17 No change                    |  | 81%         |

two invasive tumors (stage pT1, TCCs 733 and 827), whereas the two non-invasive papillomas (stage pTa, TCCs 335 and 532) showed only 9p–, 9q22–q33–, and X–, and 7+, 9q–, and Y–, respectively. Both invasive tumors showed changes (1q22–24+, 2q14.1–qter–, 3q12–q13.3–, 6q12–q22–, 9q34+, 11q12–q13+, 17+, and 20q11.2–q12+) that are typical for their disease stage, as well as additional alterations, some of which are shown in Fig. 1. Areas with gains and losses deviated from the normal copy number to some extent, and the average numerical deviation from normal was 0.4-fold in the case of TCC 733 and 0.3-fold for TCC 827. The largest changes, amounting to at least a doubling of chromosomal content, were observed at 1q23 in TCC 733 (Fig. 1A) and 20q12 in TCC 827 (Fig. 1B).

**mRNA Expression in Relation to DNA Copy Number**—The mRNA levels from the two invasive tumors (TCCs 827 and 733) were compared with the two non-invasive counterparts (TCCs 532 and 335). This was done in two separate experiments in which we compared TCCs 733 to 335 and 827 to 532, respectively, using two different scaling settings for the arrays to rule out scaling as a confounding parameter. Approximately 1,800 genes that yielded a signal on the arrays were searched in the Unigene and Genemap data bases for chromosomal location, and those with a known location (1096) were plotted as bars covering their purported locus. In that way it was possible to construct a graphic presentation of DNA copy number and relative mRNA levels along the individual chromosomes (Fig. 1).

For each mRNA a ratio was calculated between the level in the invasive versus the non-invasive counterpart. Bars, which represent chromosomal location of a gene, were color-coded according to the expression ratio, and only differences larger

than 2-fold were regarded as informative (Fig. 1). The density of genes along the chromosomes varied, and areas containing only one gene were excluded from the calculations. The resolution of the CGH method is very low, and some of the outlier data may be because of the fact that the boundaries of the chromosomal aberrations are not known at high resolution.

Two sets of calculations were made from the data. For the first set we used CGH alterations as the independent variable and estimated the frequency of expression alterations in these chromosomal areas. In general, areas with a strong gain of chromosomal material contained a cluster of genes having increased mRNA expression. For example, both chromosomes 1q21–q25, 2p and 9q, showed a relative gain of more than 100% in DNA copy number that was accompanied by increased mRNA expression levels in the two tumor pairs (Fig. 1). In most cases, chromosomal gains detected by CGH were accompanied by an increased level of transcripts in both TCCs 733 (77%) and 827 (80%) (Table I, top). Chromosomal losses, on the other hand, were not accompanied by decreased expression in several cases, and were often registered as having unaltered RNA levels (Table I, top). The inability to detect RNA expression changes in these cases was not because of fewer genes mapping to the lost regions (data not shown).

In the second set of calculations we selected expression alterations above 2-fold as the independent variable and estimated the frequency of CGH alterations in these areas. As above, we found that increased transcript expression correlated with gain of chromosomal material (TCC 733, 69% and TCC 827, 59%), whereas reduced expression was often detected in areas with unaltered CGH ratios (Table I, bottom). Furthermore, as a control we looked at areas with no alter-

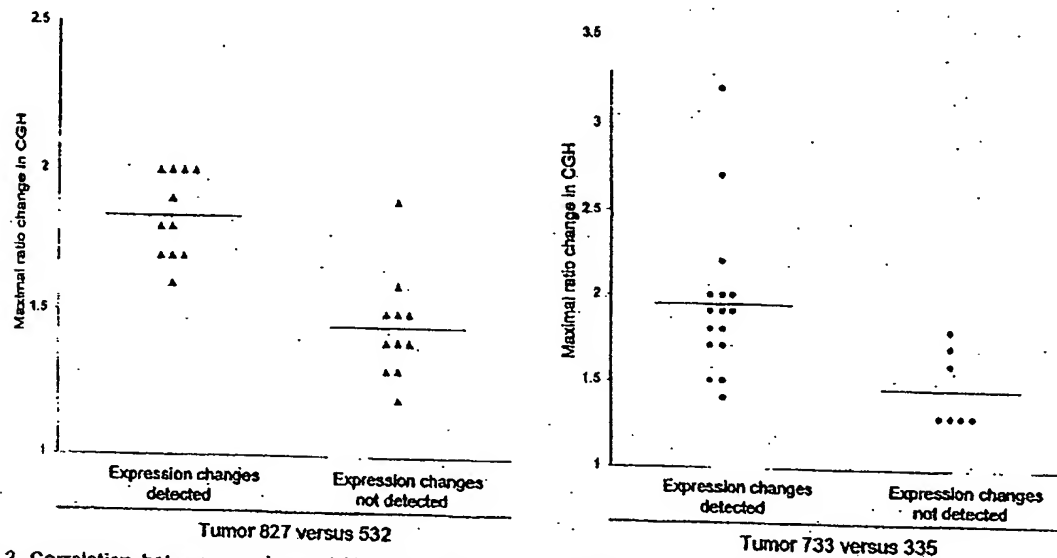


FIG. 2. Correlation between maximum CGH aberration and the ability to detect expression change by oligonucleotide array monitoring. The aberration is shown as a numerical -fold change in ratio between invasive tumors 827 (▲) and 733 (◆) and their non-invasive counterparts 532 and 335. The expression change was taken from the *Expression* line to the right in Fig. 1, which depicts the resulting expression change for a given chromosomal region. At least half of the mRNAs from a given region have to be either up- or down-regulated to be scored as an expression change. All chromosomal arms in which the CGH ratio plus or minus one standard deviation was outside the ratio value of one were included.

ation in expression. No alteration was detected by CGH in most of these areas (TCC 733, 60% and TCC 827, 81%; see Table I, bottom). Because the ability to observe reduced or increased mRNA expression clustering to a certain chromosomal area clearly reflected the extent of copy number changes, we plotted the maximum CGH aberrations in the regions showing CGH changes against the ability to detect a change in mRNA expression as monitored by the oligonucleotide arrays (Fig. 2). For both tumors TCC 733 ( $p < 0.015$ ) and TCC 827 ( $p < 0.00003$ ) a highly significant correlation was observed between the level of CGH ratio change (reflecting the DNA copy number) and alterations detected by the array based technology (Fig. 2). Similar data were obtained when areas with altered expression were used as independent variables. These areas correlated best with CGH when the CGH ratio deviated 1.6- to 2.0-fold (Table I, bottom) but mostly did not at lower CGH deviations. These data probably reflect that loss of an allele may only lead to a 50% reduction in expression level, which is at the cut-off point for detection of expression alterations. Gain of chromosomal material can occur to a much larger extent.

**Microsatellite-based Detection of Minor Areas of Losses**—In TCC 733, several chromosomal areas exhibiting DNA amplification were preceded or followed by areas with a normal CGH but reduced mRNA expression (see Fig. 1, TCC 733 chromosome 1q32, 2p21, and 7q21 and q32, 9q34, and 10q22). To determine whether these results were because of undetected loss of chromosomal material in these regions or

because of other non-structural mechanisms regulating transcription, we examined two microsatellites positioned at chromosome 1q25-32 and two at chromosome 2p22. Loss of heterozygosity (LOH) was found at both 1q25 and at 2p22 indicating that minor deleted areas were not detected with the resolution of CGH (Fig. 3). Additionally, chromosome 2p in TCC 733 showed a CGH pattern of gain/no change/gain of DNA that correlated with transcript increase/decrease/increase. Thus, for the areas showing increased expression there was a correlation with the DNA copy number alterations (Fig. 1A). As indicated above, the mRNA decrease observed in the middle of the chromosomal gain was because of LOH, implying that one of the mechanisms for mRNA down-regulation may be regions that have undergone smaller losses of chromosomal material. However, this cannot be detected with the resolution of the CGH method.

In both TCC 733 and TCC 827, the telomeric end of chromosome 11p showed a normal ratio in the CGH analysis; however, clusters of five and three genes, respectively, lost their expression. Two microsatellites (D11S1760, D11S922) positioned close to MUC2, IGF2, and cathepsin D indicated LOH as the most likely mechanism behind the loss of expression (data not shown).

A reduced expression of mRNA observed in TCC 733 at chromosomes 3q24, 11p11, 12p12.2, 12q21.1, and 16q24 and in TCC 827 at chromosome 11p15.5, 12p11, 15q11.2, and 18q12 was also examined for chromosomal losses using microsatellites positioned as close as possible to the gene loci

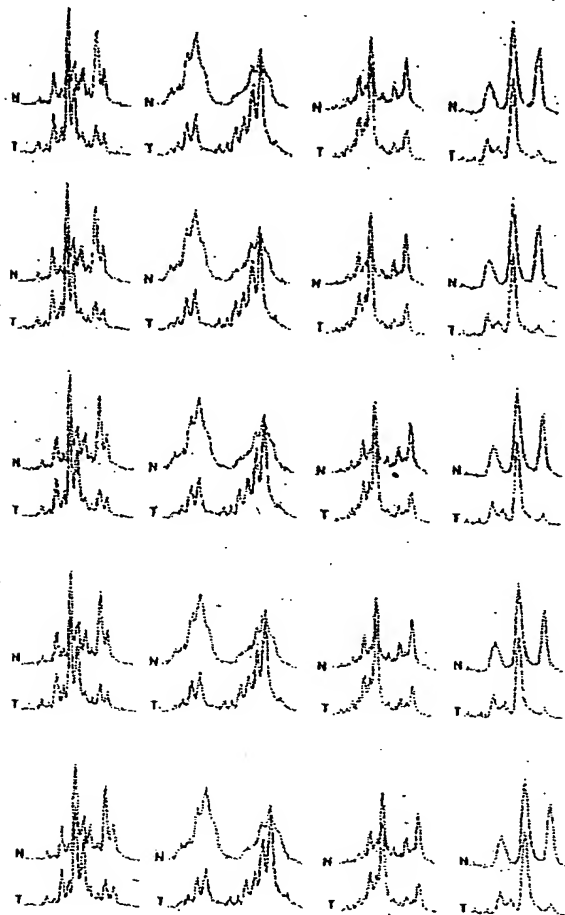


Fig. 3. Microsatellite analysis of loss of heterozygosity. Tumor 733 showing loss of heterozygosity at chromosome 1q25, detected (a) by D1S215 close to HLA class I histocompatibility antigen (gene number 38 in Fig. 1), (b) by D1S2735 close to calhepsin E (gene number 41 in Fig. 1), and (c) at chromosome 2p23 by D2S2251 close to general  $\beta$ -spectrin (gene number 11 on Fig. 1) and of (d) tumor 827 showing loss of heterozygosity at chromosome 18q12 by S18S1118 close to mitochondrial 3-oxoacyl-coenzyme A thiolase (gene number 12 in Fig. 1). The upper curves show the electropherogram obtained from normal DNA from leukocytes (N), and the lower curves show the electropherogram from tumor DNA (T). In all cases one allele is partially lost in the tumor amplicon.

showing reduced mRNA transcripts. Only the microsatellite positioned at 18q12 showed LOH (Fig. 3), suggesting that transcriptional down-regulation of genes in the other regions may be controlled by other mechanisms.

**Relation between Changes in mRNA and Protein Levels**—2D-PAGE analysis, in combination with Coomassie Brilliant Blue and/or silver staining, was carried out on all four tumors using fresh biopsy material. 40 well resolved abundant known proteins migrating in areas away from the edges of the pH

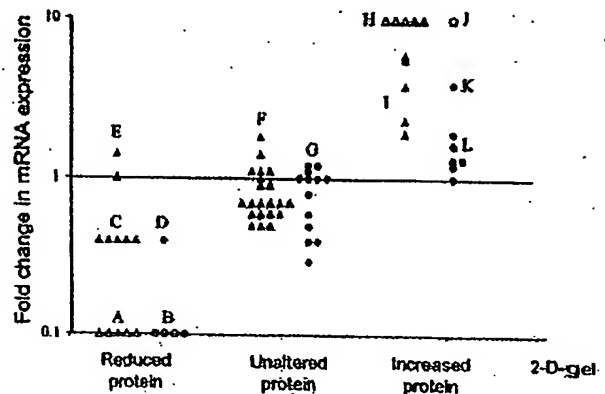


Fig. 4. Correlation between protein levels as judged by 2D-PAGE and transcript ratio. For comparison proteins were divided in three groups, unaltered in level or up- or down-regulated (horizontal axis). The mRNA ratio as determined by oligonucleotide arrays was plotted for each gene (vertical axis).  $\Delta$ , mRNAs that were scored as present in both tumors used for the ratio calculation;  $\bullet$ , mRNAs that were scored as absent in the invasive tumors (along horizontal axis) or as absent in non-invasive reference (top of figure). Two different scalings were used to exclude scaling as a confounder, TCCs 827 and 532 ( $\Delta\Delta$ ) were scaled with background suppression, and TCCs 733 and 335 ( $\bullet\bullet$ ) were scaled without suppression. Both comparisons showed highly significant ( $p < 0.005$ ) differences in mRNA ratios between the groups. Proteins shown were as follows: Group A (from left), fatty acid-binding protein homologue, cytochrome P-450, and cytochrome P-450; B (from left), fatty acid-binding protein homologue, 28-kDa heat shock protein, cytochrome P-450, and calmodulin; C (from left),  $\alpha$ -enolase, hnRNP B1, 28-kDa heat shock protein, 14-3-3- $\epsilon$ , and pre-mRNA splicing factor; D, mesothelial keratin K7 (type II); E (from top), glutathione S-transferase- $\pi$  and mesothelial keratin K7 (type II); F (from top and left), adenylate cyclase-associated protein, E-cadherin, keratin 19, calgizzarin, phosphoglycerate mutase, annexin IV, cytoskeletal  $\gamma$ -actin, hnRNP A1, integral membrane protein calnexin (IP90), hnRNP H, brain-type clathrin light chain-a; hnRNP F, 70-kDa heat shock protein, heterogeneous nuclear ribonucleoprotein A/B, translationally controlled tumor protein, liver glyceraldehyde-3-phosphate dehydrogenase, keratin 8, aldehyde reductase, and Na,K-ATPase  $\beta$ -1 subunit; G, (from top and left), TCP20, calgizzarin, 70-kDa heat shock protein, calnexin, hnRNP H, cytochrome P-450, ATP synthase, keratin 19, triosephosphate isomerase, hnRNP F, liver glyceraldehyde-3-phosphate dehydrogenase, glutathione S-transferase- $\pi$ , and keratin 8; H (from left), plasma gelsolin, autoantigen calreticulin, thioredoxin, and NAD $^{+}$ -dependent 15-hydroxyprostaglandin dehydrogenase; I (from top), prolidase 4-hydroxylase  $\beta$ -subunit, cytochrome P-450, cytochrome P-450, and fructose 1,6-bisphosphate; J annexin II; K, annexin IV; L (from top and left), 90-kDa heat shock protein, prolidase 4-hydroxylase  $\beta$ -subunit,  $\alpha$ -enolase, GRP 78, cyclophilin, and cofilin.

gradient, and having a known chromosomal location, were selected for analysis in the TCC pair 827/532. Proteins were identified by a combination of methods (see "Experimental Procedures"). In general there was a highly significant correlation ( $p < 0.005$ ) between mRNA and protein alterations (Fig. 4). Only one gene showed disagreement between transcript alteration and protein alteration. Except for a group of cyto-

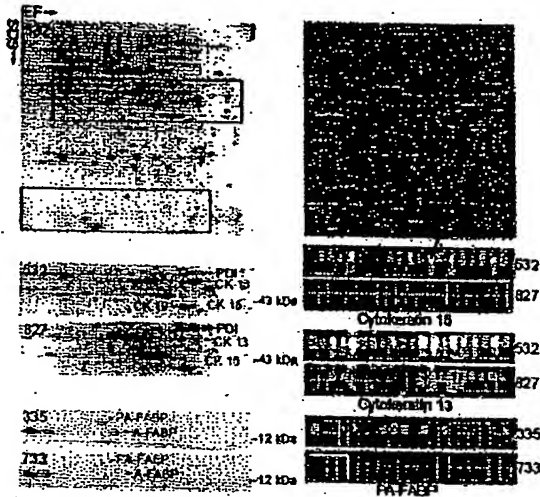


Fig. 5. Comparison of protein and transcript levels in invasive and non-invasive TCCs. The upper part of the figure shows a 2D gel (left) and the oligonucleotide array (right) of TCC 532. The red rectangles on the upper gel highlight the areas that are compared below. Identical areas of 2D gels of TCCs 532 and 827 are shown below. Clearly, cytokeratins 13 and 15 are strongly down-regulated in TCC 827 (red annotation). The tile on the array containing probes for cytokeratin 15 is enlarged below the array (red arrow) from TCC 532 and is compared with TCC 827. The upper row of squares in each tile corresponds to perfect match probes; the lower row corresponds to mismatch probes containing a mutation (used for correction for unspecific binding). Absence of signal is depicted as black, and the higher the signal the lighter the color. A high transcript level was detected in TCC 532 (6151 units) whereas a much lower level was detected in TCC 827 (absence of signals). For cytokeratin 13, a high transcript level was also present in TCC 532 (15659 units), and a much lower level was present in TCC 827 (623 units). The 2D gels at the bottom of the figure (left) show levels of PA-FABP and adipocyte-FABP in TCCs 335 and 733 (invasive), respectively. Both proteins are down-regulated in the invasive tumor. To the right we show the array tiles for the PA-FABP transcript. A medium transcript level was detected in the case of TCC 335 (1277 units) whereas very low levels were detected in TCC 733 (166 units). IEF, isoelectric focusing.

keratins encoded by genes on chromosome 17 (Fig. 5) the analyzed proteins did not belong to a particular family. 26 well focused proteins whose genes had a known chromosomal location were detected in TCCs 733 and 335, and of these 19 correlated ( $p < 0.005$ ) with the mRNA changes detected using the arrays (Fig. 4). For example, PA-FABP was highly expressed in the non-invasive TCC 335 but lost in the invasive counterpart (TCC 733; see Fig. 5). The smaller number of proteins detected in both 733 and 335 was because of the smaller size of the biopsies that were available.

11 chromosomal regions where CGH showed aberrations that corresponded to the changes in transcript levels also showed corresponding changes in the protein level (Table II). These regions included genes that encode proteins that are found to be frequently altered in bladder cancer, namely cytokeratins 17 and 20, annexins II and IV, and the fatty acid-binding proteins PA-FABP and FBP1. Four of these proteins were encoded by genes in chromosome 17q, a frequently amplified chromosomal area in invasive bladder cancers.

#### DISCUSSION

Most human cancers have abnormal DNA content, having lost some chromosomal parts and gained others. The present study provides some evidence as to the effect of these gains and losses on gene expression in two pairs of non-invasive and invasive TCCs using high throughput expression arrays and proteomics, in combination with CGH. In general, the results showed that there is a clear individual regulation of the mRNA expression of single genes, which in some cases was superimposed by a DNA copy number effect. In most cases, genes located in chromosomal areas with gains often exhibited increased mRNA expression, whereas areas showing losses showed either no change or a reduced mRNA expression. The latter might be because of the fact that losses most often are restricted to loss of one allele, and the cut-off point for detection of expression alterations was a 2-fold change, thus being at the border of detection. In several cases, how-

TABLE II  
Proteins whose expression level correlates with both mRNA and gene dose changes

| Protein               | Chromosomal location | Tumor TCC | CGH alteration | Transcript alteration <sup>a</sup> | Protein alteration |
|-----------------------|----------------------|-----------|----------------|------------------------------------|--------------------|
| Annexin II            | 1q21                 | 733       | Gain           | Abs to Pres <sup>a</sup>           | Increase           |
| Annexin IV            | 2p13                 | 733       | Gain           | 3.9-Fold up                        | Increase           |
| Cytokeratin 17        | 17q12-q21            | 827       | Gain           | 3.8-Fold up                        | Increase           |
| Cytokeratin 20        | 17q21.1              | 827       | Gain           | 5.6-Fold up                        | Increase           |
| (PA-)FABP             | 8q21.2               | 827       | Loss           | 10-Fold down                       | Decrease           |
| FBP1                  | 9q22                 | 827       | Gain           | 2.3-Fold up                        | Increase           |
| Plasma gelsolin       | 9q31                 | 827       | Gain           | Abs to Pres                        | Increase           |
| Heat shock protein 28 | 15q12-q13            | 827       | Loss           | 2.5-Fold up                        | Decrease           |
| Prohibitin            | 17q21                | 827/733   | Gain           | 3.7-/2.5-Fold up <sup>b</sup>      | Increase           |
| Prolyl-4-hydroxyl     | 17q25                | 827/733   | Gain           | 5.7-/1.6-Fold up                   | Increase           |
| hnRNPB1               | 7p15                 | 827       | Loss           | 2.5-Fold down                      | Decrease           |

<sup>a</sup> Abs, absent; Pres, present.

<sup>b</sup> In cases where the corresponding alterations were found in both TCCs 827 and 733 these are shown as 827/733.

ever, an increase or decrease in DNA copy number was associated with *de novo* occurrence or complete loss of transcript, respectively. Some of these transcripts could not be detected in the non-invasive tumor but were present at relatively high levels in areas with DNA amplifications in the invasive tumors (e.g. in TCC 733 transcript from cellular ligand of annexin II gene (chromosome 1q21) from absent to 2670 arbitrary units; in TCC 827 transcript from small proline-rich protein 1 gene (chromosome 1q12-q21.1) from absent to 1326 arbitrary units). It may be anticipated from these data that significant clustering of genes with an increased expression to a certain chromosomal area indicates an increased likelihood of gain of chromosomal material in this area.

Considering the many possible regulatory mechanisms acting at the level of transcription, it seems striking that the gene dose effects were so clearly detectable in gained areas. One hypothetical explanation may lie in the loss of controlled methylation in tumor cells (17-19). Thus, it may be possible that in chromosomes with increased DNA copy numbers two or more alleles could be demethylated simultaneously leading to a higher transcription level, whereas in chromosomes with losses the remaining allele could be partly methylated, turning off the process (20, 21). A recent report has documented a ploidy regulation of gene expression in yeast, but in this case all the genes were present in the same ratio (22), a situation that is not analogous to that of cancer cells, which show marked chromosomal aberrations, as well as gene dosage effects.

Several CGH studies of bladder cancer have shown that some chromosomal aberrations are common at certain stages of disease progression, often occurring in more than 1 of 3 tumors. In pTa tumors, these include 9p-, 9q-, 1q+, Y- (2, 6), and in pT1 tumors, 2q-, 11p-, 11q-, 1q+, 5p+, 8q+, 17q+, and 20q+ (2-4, 6, 7). The pTa tumors studied here showed similar aberrations such as 9p- and 9q22-q33- and 9q- and Y-, respectively. Likewise, the two minimal invasive pT1 tumors showed aberrations that are commonly seen at that stage, and TCC 827 had a remarkable resemblance to the commonly seen pattern of losses and gains, such as 1q22-24 amplification (seen in both tumors), 11q14-q22 loss, the latter often linked to 17 q+ (both tumors), and 1q+ and 9p-, often linked to 20q+ and 11 q13+ (both tumors) (7-9). These observations indicate that the pairs of tumors used in this study exhibit chromosomal changes observed in many tumors, and therefore the findings could be of general importance for bladder cancer.

Considering that the mapping resolution of CGH is of about 20 megabases it is only possible to get a crude picture of chromosomal instability using this technique. Occasionally, we observed reduced transcript levels close to or inside regions with increased copy numbers. Analysis of these regions by positioning heterozygous microsatellites as close as possible to the locus showing reduced gene expression revealed loss of heterozygosity in several cases. It seems likely that multiple and different events occur along each chromosomal

arm and that the use of cDNA microarrays for analysis of DNA copy number changes will reach a resolution that can resolve these changes, as has recently been proposed (2). The outlier data were not more frequent at the boundaries of the CGH aberrations. At present we do not know the mechanism behind chromosomal aneuploidy and cannot predict whether chromosomal gains will be transcribed to a larger extent than the two native alleles. A mechanism as genetic imprinting has an impact on the expression level in normal cells and is often reduced in tumors. However, the relation between imprinting and gain of chromosomal material is not known.

We regard it as a strength of this investigation that we were able to compare invasive tumors to benign tumors rather than to normal urothelium, as the tumors studied were biologically very close and probably may represent successive steps in the progression of bladder cancer. Despite the limited amount of fresh tissue available it was possible to apply three different state of the art methods. The observed correlation between DNA copy number and mRNA expression is remarkable when one considers that different pieces of the tumor biopsies were used for the different sets of experiments. This indicate that bladder tumors are relatively homogenous, a notion recently supported by CGH and LOH data that showed a remarkable similarity even between tumors and distant metastasis (10, 23).

In the few cases analyzed, mRNA and protein levels showed a striking correspondence although in some cases we found discrepancies that may be attributed to translational regulation, post-translational processing, protein degradation, or a combination of these. Some transcripts belong to undertranslated mRNA pools, which are associated with few translationally inactive ribosomes; these pools, however, seem to be rare (24). Protein degradation, for example, may be very important in the case of polypeptides with a short half-life (e.g. signaling proteins). A poor correlation between mRNA and protein levels was found in liver cells as determined by arrays and 2D-PAGE (25), and a moderate correlation was recently reported by Ideker *et al.* (26) in yeast.

Interestingly, our study revealed a much better correlation between gained chromosomal areas and increased mRNA levels than between loss of chromosomal areas and reduced mRNA levels. In general, the level of CGH change determined the ability to detect a change in transcript. One possible explanation could be that by losing one allele the change in mRNA level is not so dramatic as compared with gain of material, which can be rather unlimited and may lead to a severalfold increase in gene copy number resulting in a much higher impact on transcript level. The latter would be much easier to detect on the expression arrays as the cut-off point was placed at a 2-fold level so as not to be biased by noise on the array. Construction of arrays with a better signal to noise ratio may in the future allow detection of lesser than 2-fold alterations in transcript levels, a feature that may facilitate the analysis of the effect of loss of chromosomal areas on transcript levels.



In eleven cases we found a significant correlation between DNA copy number, mRNA expression, and protein level. Four of these proteins were encoded by genes located at a frequently amplified area in chromosome 17q. Whether DNA copy number is one of the mechanisms behind alteration of these eleven proteins is at present unknown and will have to be proved by other methods using a larger number of samples. One factor making such studies complicated is the large extent of protein modification that occurs after translation, requiring immunodentification and/or mass spectrometry to correctly identify the proteins in the gels.

In conclusion, the results presented in this study exemplify the large body of knowledge that may be possible to gather in the future by combining state of the art techniques that follow the pathway from DNA to protein (26). Here, we used a traditional chromosomal CGH method, but in the future high resolution CGH based on microarrays with many thousand radiation hybrid-mapped genes will increase the resolution and information derived from these types of experiments (2). Combined with expression arrays analyzing transcripts derived from genes with known locations, and 2D gel analysis to obtain information at the post-translational level, a clearer and more developed understanding of the tumor genome will be forthcoming.

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Impact of DNA Amplification on Gene Expression Patterns in Breast Cancer<sup>1,2</sup>Elizabeth Hyman,<sup>3</sup> Päivi Kauraniemi,<sup>3</sup> Sampsa Hantaniemi, Maija Wolf, Spyro Mousas, Ester Rozenblum, Markus Rignér, Guido Sauter, Olli Mönni, Abdel Elkhailoun, Olli-P. Kallioniemi, and Anne Kallioniemi<sup>4</sup>

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## ABSTRACT

Genetic changes underlie tumor progression and may lead to cancer-specific expression of critical genes. Over 1100 publications have described the use of comparative genomic hybridization (CGH) to analyze the pattern of copy number alterations in cancer, but very few of the genes affected are known. Here, we performed high-resolution CGH analysis on cDNA microarrays in breast cancer and directly compared copy number and mRNA expression levels of 13,824 genes to quantitate the impact of genomic changes on gene expression. We identified and mapped the boundaries of 24 independent amplicons, ranging in size from 0.2 to 12 Mb. Throughout the genome, both high- and low-level copy number changes had a substantial impact on gene expression, with 44% of the highly amplified genes showing overexpression and 10.5% of the highly overexpressed genes being amplified. Statistical analysis with random permutation tests identified 270 genes whose expression levels across 14 samples were systematically attributable to gene amplification. These included most previously described amplified genes in breast cancer and many novel targets for genomic alterations, including the *HOXB7* gene, the presence of which in a novel amplicon at 17q21.3 was validated in 10.2% of primary breast cancers and associated with poor patient prognosis. In conclusion, CGH on cDNA microarrays revealed hundreds of novel genes whose overexpression is attributable to gene amplification. These genes may provide insights to the clonal evolution and progression of breast cancer and highlight promising therapeutic targets.

## INTRODUCTION

Gene expression patterns revealed by cDNA microarrays have facilitated classification of cancers into biologically distinct categories, some of which may explain the clinical behavior of the tumors (1-6). Despite this progress in diagnostic classification, the molecular mechanisms underlying gene expression patterns in cancer have remained elusive, and the utility of gene expression profiling in the identification of specific therapeutic targets remains limited.

Accumulation of genetic defects is thought to underlie the clonal evolution of cancer. Identification of the genes that mediate the effects of genetic changes may be important by highlighting transcripts that are actively involved in tumor progression. Such transcripts and their encoded proteins would be ideal targets for anticancer therapies, as demonstrated by the clinical success of new therapies against amplified oncogenes, such as *ERBB2* and *EGFR* (7, 8), in breast cancer and other solid tumors. Besides amplifications of known oncogenes, over

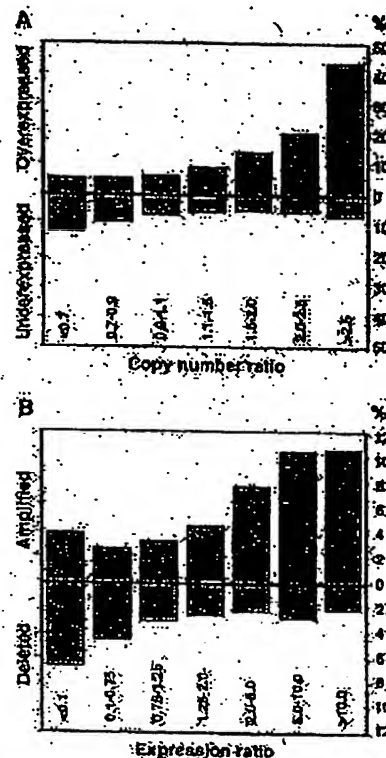


Fig. 1. Impact of gene copy number on global gene expression levels. A, percentage of over- and underexpressed genes (Y axis) according to copy number ratios (X axis). Threshold values used for over- and underexpression were  $>2.184$  (global upper 7% of the cDNA ratios) and  $<0.4826$  (global lower 7% of the expression ratios). B, percentage of amplified and deleted genes according to expression ratios. Threshold values for amplification and deletion were  $>1.5$  and  $<0.7$ .

20 recurrent regions of DNA amplification have been mapped in breast cancer by CGH<sup>5</sup> (9, 10). However, these amplicons are often large and poorly defined, and their impact on gene expression remains unknown.

We hypothesized that genome-wide identification of those gene expression changes that are attributable to underlying gene copy number alterations would highlight transcripts that are actively involved in the causation or maintenance of the malignant phenotype. To identify such transcripts, we applied a combination of cDNA and CGH microarrays to: (a) determine the global impact that gene copy number variation plays in breast cancer development and progression; and (b) identify and characterize those genes whose mRNA expres-

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<sup>5</sup>The abbreviations used are: CGH, comparative genomic hybridization; FISH, fluorescence *in situ* hybridization; RT-PCR, reverse transcription-PCR.



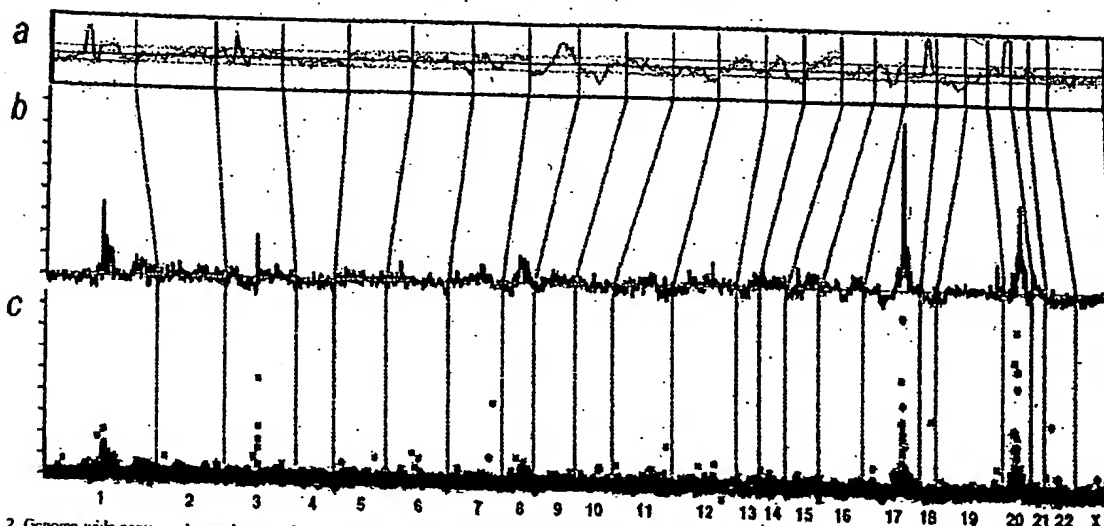


Fig. 2. Genome-wide copy number and expression analysis in the MCF-7 breast cancer cell line. A, chromosomal CGH analysis of MCF-7. The copy number ratio profile (blue line) across the entire genome from 1p telomere to Xq telomere is shown along with  $\pm 1$  SD (orange lines). The black horizontal line indicates a ratio of 1.0; red line, a ratio of 0.8; and green line, a ratio of 1.2. B-C, genome-wide copy number analysis in MCF-7 by CGH on cDNA microarray. The copy number ratios were plotted as a function of the position of the cDNA clones along the human genome. In B, individual data points are connected with a line, and a moving median of 10 adjacent clones is shown. Red horizontal line, the copy number ratio of 1.0. In C, individual data points are labeled by color coding according to cDNA expression ratios. The bright red dots indicate the upper 2%, and dark red dots, the next 5% of the expression ratios in MCF-7 cells (overexpressed genes); bright green dots indicate the lowest 2%, and dark green dots, the next 5% of the expression ratios (underexpressed genes); the rest of the observations are shown with black crosses. The chromosome numbers are shown at the bottom of the figure, and chromosome boundaries are indicated with a dashed line.

sion is most significantly associated with amplification of the corresponding genomic template.

## MATERIALS AND METHODS

**Breast Cancer Cell Lines.** Fourteen breast cancer cell lines (BT-20, BT-474, HCC1428, Hs578t, MCF7, MDA-361, MDA-436, MDA-453, MDA-468, SKBR-3, T-47D, UACC812, ZR-75-1, and ZR-75-30) were obtained from the American Type Culture Collection (Manassas, VA). Cells were grown under recommended culture conditions. Genomic DNA and mRNA were isolated using standard protocols.

**Copy Number and Expression Analyses by cDNA Microarrays.** The preparation and printing of the 13,824 cDNA clones on glass slides were performed as described (11-13). Of these clones, 244 represented uncharacterized expressed sequence tags, and the remainder corresponded to known genes. CGH experiments on cDNA microarrays were done as described (14, 15). Briefly, 20  $\mu$ g of genomic DNA from breast cancer cell lines and normal human WBCs were digested for 14-18 h with *AluI* and *RsaI* (Life Technologies, Inc., Rockville, MD) and purified by phenol/chloroform extraction. Six  $\mu$ g of digested cell line DNAs were labeled with Cy3-dUTP (Amersham Pharmacia) and normal DNA with Cy5-dUTP (Amersham Pharmacia) using the BioPrime Labeling kit (Life Technologies, Inc.). Hybridization (14, 15) and posthybridization washes (13) were done as described. For the expression analyses, a standard reference (Universal Human Reference RNA; Stratagene, La Jolla, CA) was used in all experiments. Forty  $\mu$ g of reference RNA were labeled with Cy3-dUTP and 3.5  $\mu$ g of test mRNA with Cy5-dUTP, and the labeled cDNAs were hybridized on microarrays as described (13, 15). For both microarray analyses, a laser confocal scanner (Agilent Technologies, Palo Alto, CA) was used to measure the fluorescence intensities at the target locations using the DEARRAY software (16). After background subtraction, average intensities at each clone in the test hybridization were divided by the average intensity of the corresponding clone in the control hybridization. For the copy number analysis, the ratios were normalized on the basis of the distribution of ratios of all targets on the array and for the expression analysis on the basis of 88 housekeeping genes, which were spotted four times onto the array. Low quality measurements (i.e., copy number data with mean reference intensity <100 fluorescent units, and expression data with both test and reference intensity <100 fluorescent units and/or with spot size <50 units)

were excluded from the analysis and were treated as missing values. The distributions of fluorescence ratios were used to define cutpoints for increased/decreased copy number. Genes with CGH ratio >1.43 (representing the upper 5% of the CGH ratios across all experiments) were considered to be amplified, and genes with ratio <0.73 (representing the lower 5%) were considered to be deleted.

**Statistical Analysis of CGH and cDNA Microarray Data.** To evaluate the influence of copy number alterations on gene expression, we applied the following statistical approach. CGH and cDNA calibrated intensity ratios were log-transformed and normalized using median centering of the values in each cell line. Furthermore, cDNA ratios for each gene across all 14 cell lines were median centered. For each gene, the CGH data were represented by a vector that was labeled 1 for amplification (ratio, >1.43) and 0 for no amplification. Amplification was correlated with gene expression using the signal-to-noise statistics (1). We calculated a weight,  $w_g$ , for each gene as follows:

$$w_g = \frac{m_{g1} - m_{g0}}{\sigma_{g1} + \sigma_{g0}}$$

where  $m_{g1}$ ,  $\sigma_{g1}$ , and  $m_{g0}$ ,  $\sigma_{g0}$  denote the means and SDs for the expression levels for amplified and nonamplified cell lines, respectively. To assess the statistical significance of each weight, we performed 10,000 random permutations of the label vector. The probability that a gene had a larger or equal weight by random permutation than the original weight was denoted by  $\alpha$ . A low  $\alpha$  (<0.05) indicates a strong association between gene expression and amplification.

**Genomic Localization of cDNA Clones and Amplicon Mapping.** Each cDNA clone on the microarray was assigned to a Unigene cluster using the Unigene Build 141.<sup>6</sup> A database of genomic sequence alignment information for mRNA sequences was created from the August 2001 freeze of the University of California Santa Cruz's GoldenPath database.<sup>7</sup> The chromosome and bp positions for each cDNA clone were then retrieved by relating these data sets. Amplicons were defined as a CGH copy number ratio >2.0 in at least two adjacent clones in two or more cell lines or a CGH ratio >2.0 in at least three adjacent clones in a single cell line. The amplicon start and end positions were

<sup>6</sup> Internet address: [http://research.nhgri.nih.gov/microarray/downloadable\\_cdna.html](http://research.nhgri.nih.gov/microarray/downloadable_cdna.html).  
<sup>7</sup> Internet address: [www.genome.ucsc.edu](http://www.genome.ucsc.edu).

Table 1. Summary of independent amplicons in 14 breast cancer cell lines by CGH microarray

| Location        | Start (Mb) | End (Mb) | Size (Mb) |
|-----------------|------------|----------|-----------|
| 1p13            | 132.79     | 132.94   | 0.2       |
| 1q21            | 173.92     | 177.25   | 3.3       |
| 1q22            | 179.28     | 179.57   | 0.3       |
| 3p14            | 71.94      | 74.66    | 2.7       |
| 7p12.1-7p11.2   | 55.62      | 60.95    | 5.3       |
| 7q31            | 125.73     | 130.96   | 5.2       |
| 7q32            | 140.01     | 140.68   | 0.7       |
| 8q21.11-8q21.13 | 86.45      | 92.46    | 6.0       |
| 8q21.3          | 98.45      | 103.05   | 4.6       |
| 8q23.3-8q24.14  | 129.88     | 142.15   | 12.3      |
| 8q24.22         | 151.21     | 152.16   | 1.0       |
| 9p13            | 38.65      | 39.25    | 0.6       |
| 13q22-q31       | 77.15      | 81.38    | 4.2       |
| 16q22           | 86.70      | 87.62    | 0.9       |
| 17q11           | 29.30      | 30.85    | 1.6       |
| 17q12-q21.2     | 39.79      | 42.80    | 3.0       |
| 17q21.32-q21.33 | 52.47      | 55.80    | 3.3       |
| 17q22-q23.3     | 63.81      | 69.70    | 5.9       |
| 17q23.3-q24.3   | 69.93      | 74.99    | 5.1       |
| 19q13           | 40.63      | 41.40    | 0.8       |
| 20q11.22        | 34.59      | 35.85    | 1.3       |
| 20q13.12        | 44.00      | 45.62    | 1.6       |
| 20q13.12-q13.13 | 46.45      | 49.43    | 3.0       |
| 20q13.2-q13.32  | 51.32      | 59.12    | 7.8       |

extended to include neighboring nonamplified clones (ratio,  $<1.5$ ). The amplicon size determination was partially dependent on local clone density.

**FISH.** Dual-color interphase FISH to breast cancer cell lines was done as described (17). Bacterial artificial chromosome clone RP11-361K8 was labeled with SpectrumOrange (Vysis, Downers Grove, IL), and SpectrumOrange-labeled probe for *EGFR* was obtained from Vysis. SpectrumGreen-labeled chromosome 7 and 17 centromeric probes (Vysis) were used as a reference. A tissue microarray containing 612 formalin-fixed, paraffin-embedded primary breast cancers (17) was applied in FISH analyses as described (18). The use of these specimens was approved by the Ethics Committee of the University of Basel and by the NIH. Specimens containing a 2-fold or higher increase in the number of test probe signals, as compared with corresponding centromeric signals, in at least 10% of the tumor cells were considered to be amplified. Survival analysis was performed using the Kaplan-Meier method and the log-rank test.

**RT-PCR.** The *HOXB7* expression level was determined relative to *GAPDH*. Reverse transcription and PCR amplification were performed using Access RT-PCR System (Promega Corp., Madison, WI) with 10 ng of mRNA as a template. *HOXB7* primers were 5'-GAGCAGAGGGACTCGGACTT-3' and 5'-GCGTCAGGTAGCGATTGTAG-3'.

## RESULTS

**Global Effect of Copy Number on Gene Expression.** 13,824 arrayed cDNA clones were applied for analysis of gene expression and gene copy number (CGH microarrays) in 14 breast cancer cell lines. The results illustrate a considerable influence of copy number on gene expression patterns. Up to 44% of the highly amplified transcripts (CGH ratio,  $>2.5$ ) were overexpressed (i.e., belonged to the global upper 7% of expression ratios), compared with only 6% for genes with normal copy number levels (Fig. 1A). Conversely, 10.5% of the transcripts with high-level expression (cDNA ratio,  $>10$ ) showed increased copy number (Fig. 1B). Low-level copy number increases and decreases were also associated with similar, although less dramatic, outcomes on gene expression (Fig. 1).

**Identification of Distinct Breast Cancer Amplicons.** Base-pair locations obtained for 11,994 cDNAs (86.8%) were used to plot copy number changes as a function of genomic position (Fig. 2, Supplement Fig. A). The average spacing of clones throughout the genome was 267 kb. This high-resolution mapping identified 24 independent breast cancer amplicons, spanning from 0.2 to 12 Mb of DNA (Table 1). Several amplification sites detected previously by chromosomal

CGH were validated, with 1q21, 17q12-q21.2, 17q22-q23, 20q13.1, and 20q13.2 regions being most commonly amplified. Furthermore, the boundaries of these amplicons were precisely delineated. In addition, novel amplicons were identified at 9p13 (38.65-39.25 Mb), and 17q21.3 (52.47-55.80 Mb).

**Direct Identification of Putative Amplification Target Genes.** The cDNA/CGH microarray technique enables the direct correlation of copy number and expression data on a gene-by-gene basis throughout the genome. We directly annotated high-resolution CGH plots with gene expression data using color coding. Fig. 2C shows that most of the amplified genes in the MCF-7 breast cancer cell line at 1p13, 17q22-q23, and 20q13 were highly overexpressed. A view of chromosome 7 in the MDA-468 cell line implicates *EGFR* as the most highly overexpressed and amplified gene at 7p11-p12 (Fig. 3A). In BT-474, the two known amplicons at 17q12 and 17q22-q23 contained numerous highly overexpressed genes (Fig. 3B). In addition, several genes, including the homeobox genes *HOXB2* and *HOXB7*, were highly amplified in a previously undescribed independent amplicon at 17q21.3. *HOXB7* was systematically amplified (as validated by FISH, Fig. 3B, inset) as well as overexpressed (as verified by RT-PCR, data not shown) in BT-474, UACC812, and ZR-75-30 cells. Furthermore, this novel

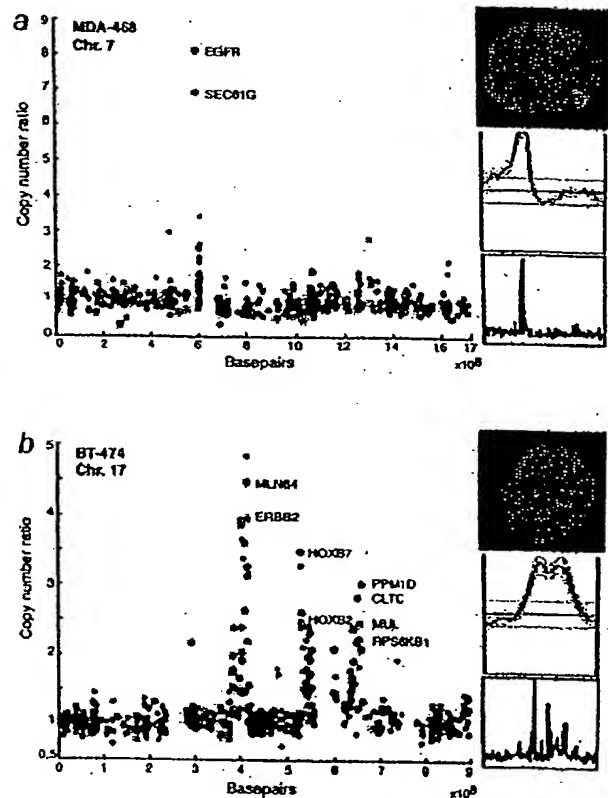
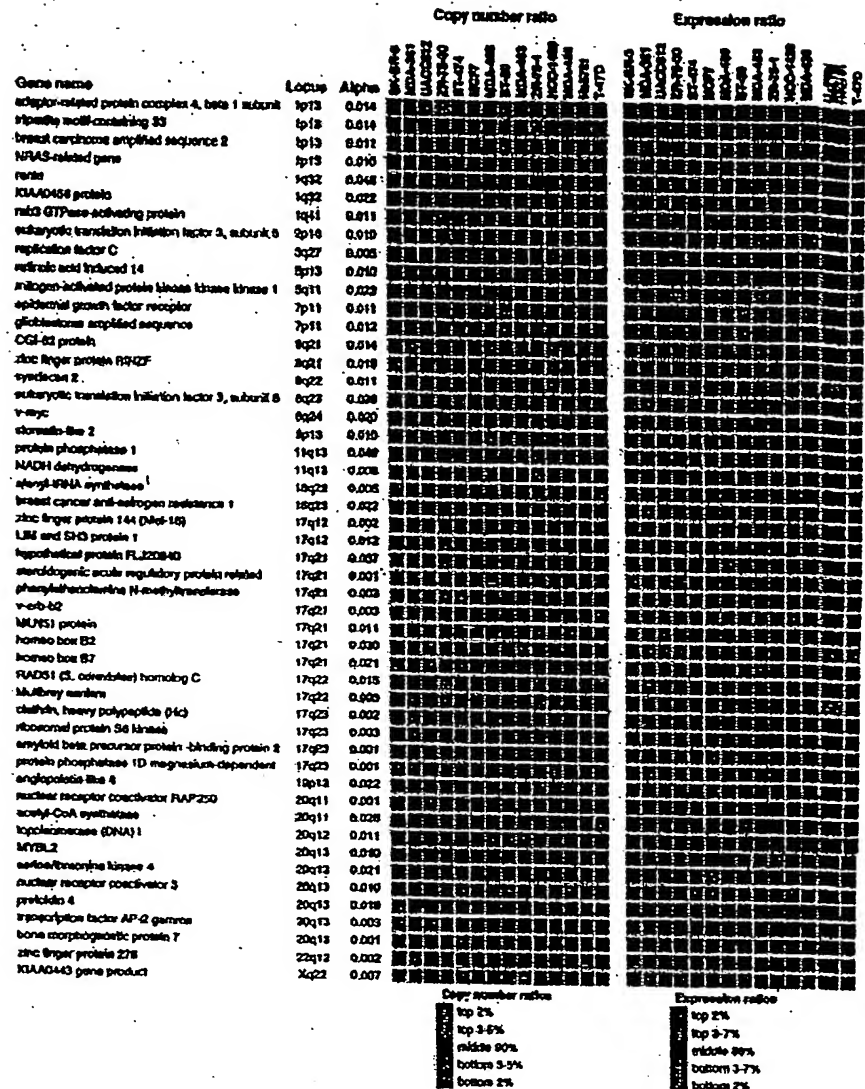


Fig. 3. Annotation of gene expression data on CGH microarray profiles. A, genes in the 7p11-p12 amplicon in the MDA-468 cell line are highly expressed (red dots) and include the *EGFR* oncogene. B, several genes in the 17q12, 17q21.3, and 17q23 amplicons in the BT-474 breast cancer cell line are highly overexpressed (red) and include the *HOXB7* gene. The data labels and color coding are as indicated for Fig. 2C. Insets show chromosomal CGH profiles for the corresponding chromosomes and validation of the increased copy number by interphase FISH using *EGFR* (red) and chromosome 7 centromeric probe (green) to MDA-468 (A) and *HOXB7*-specific probe (red) and chromosome 17 centromeric (green) to BT-474 cells (B).

Fig. 4. List of 50 genes with a statistically significant correlation ( $\alpha$  value  $<0.05$ ) between gene copy number and gene expression. Name, chromosomal location, and the  $\alpha$  value for each gene are indicated. The genes have been ordered according to their position in the genome. The color maps on the right illustrate the copy number and expression ratio patterns in the 14 cell lines. The key to the color code is shown at the bottom of the graph. Gray squares, missing values. The complete list of 270 genes is shown in supplemental Fig. B.



amplification was validated to be present in 10.2% of 363 primary breast cancers by FISH to a tissue microarray and was associated with poor prognosis of the patients ( $P = 0.001$ ).

**Statistical Identification and Characterization of 270 Highly Expressed Genes in Amplicons.** Statistical comparison of expression levels of all genes as a function of gene amplification identified 270 genes whose expression was significantly influenced by copy number across all 14 cell lines (Fig. 4, Supplemental Fig. B). According to the gene ontology data,<sup>6</sup> 91 of the 270 genes represented hypothetical proteins or genes with no functional annotation, whereas 179 had associated functional information available. Of these, 151 (84%) are implicated in apoptosis, cell proliferation, signal transduction, and transcription, whereas 28 (16%) had functional annotations that could not be directly linked with cancer.

## DISCUSSION

The importance of recurrent gene and chromosome copy number changes in the development and progression of solid tumors has been characterized in  $>1000$  publications applying CGH<sup>9</sup> (9, 10), as well as in a large number of other molecular cytogenetic, cytogenetic, and molecular genetic studies. The effects of these somatic genetic changes on gene expression levels have remained largely unknown, although a few studies have explored gene expression changes occurring in specific amplicons (15, 19–21). Here, we applied genome-wide cDNA microarrays to identify transcripts whose expression changes were attributable to underlying gene copy number alterations in breast cancer.

The overall impact of copy number on gene expression patterns was substantial with the most dramatic effects seen in the case of high-

<sup>6</sup> Internet address: <http://www.geneontology.org/>.

<sup>9</sup> Internet address: <http://www.ncbi.nlm.nih.gov/ncrcz>.

level copy number increase. Low-level copy number gains and losses also had a significant influence on expression levels of genes in the regions affected, but these effects were more subtle on a gene-by-gene basis than those of high-level amplifications. However, the impact of low-level gains on the dysregulation of gene expression patterns in cancer may be equally important if not more important than that of high-level amplifications. Aneuploidy and low-level gains and losses of chromosomal arms represent the most common types of genetic alterations in breast and other cancers and, therefore, have an influence on many genes. Our results in breast cancer extend the recent studies on the impact of aneuploidy on global gene expression patterns in yeast cells, acute myeloid leukemia, and a prostate cancer model system (22-24).

The CGH microarray analysis identified 24 independent breast cancer amplicons. We defined the precise boundaries for many amplicons detected previously by chromosomal CGH (9, 10, 25, 26) and also discovered novel amplicons that had not been detected previously, presumably because of their small size (only 1-2 Mb) or close proximity to other larger amplicons. One of these novel amplicons involved the homeobox gene region at 17q21.3 and led to the overexpression of the *HOXB7* and *HOXB2* genes. The homeodomain transcription factors are known to be key regulators of embryonic development and have been occasionally reported to undergo aberrant expression in cancer (27, 28). *HOXB7* transfection induced cell proliferation in melanoma, breast, and ovarian cancer cells and increased tumorigenicity and angiogenesis in breast cancer (29-32). The present results imply that gene amplification may be a prominent mechanism for overexpressing *HOXB7* in breast cancer and suggest that *HOXB7* contributes to tumor progression and confers an aggressive disease phenotype in breast cancer. This view is supported by our finding of amplification of *HOXB7* in 10% of 363 primary breast cancers, as well as an association of amplification with poor prognosis of the patients.

We carried out a systematic search to identify genes whose expression levels across all 14 cell lines were attributable to amplification status. Statistical analysis revealed 270 such genes (representing ~2% of all genes on the array), including not only previously described amplified genes, such as *HER-2*, *MYC*, *EGFR*, ribosomal protein S6 kinase, and *AIB3*, but also numerous novel genes such as *NRAS-related gene* (1p13), *syndecan-2* (8q22), and *bone morphogenic protein* (20q13.1), whose activation by amplification may similarly promote breast cancer progression. Most of the 270 genes have not been implicated previously in breast cancer development and suggest novel pathogenetic mechanisms. Although we would not expect all of them to be causally involved, it is intriguing that 84% of the genes with associated functional information were implicated in apoptosis, cell proliferation, signal transduction, transcription, or other cellular processes that could directly imply a possible role in cancer progression. Therefore, a detailed characterization of these genes may provide biological insights to breast cancer progression and might lead to the development of novel therapeutic strategies.

In summary, we demonstrate application of cDNA microarrays to the analysis of both copy number and expression levels of over 12,000 transcripts throughout the breast cancer genome, roughly once every 267 kb. This analysis provided: (a) evidence of a prominent global influence of copy number changes on gene expression levels; (b) a high-resolution map of 24 independent amplicons in breast cancer; and (c) identification of a set of 270 genes, the overexpression of which was statistically attributable to gene amplification. Characterization of a novel amplicon at 17q21.3 implicated amplification and overexpression of the *HOXB7* gene in breast cancer, including a clinical association

between *HOXB7* amplification and poor patient prognosis. Overall, our results illustrate how the identification of genes activated by gene amplification provides a powerful approach to highlight genes with an important role in cancer as well as to prioritize and validate putative targets for therapy development.

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# Microarray analysis reveals a major direct role of DNA copy number alteration in the transcriptional program of human breast tumors

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Genomic DNA copy number alterations are key genetic events in the development and progression of human cancers. Here we report a genome-wide microarray comparative genomic hybridization (array CGH) analysis of DNA copy number variation in a series of primary human breast tumors. We have profiled DNA copy number alteration across 6,691 mapped human genes, in 44 predominantly advanced, primary breast tumors and 10 breast cancer cell lines. While the overall patterns of DNA amplification and deletion corroborate previous cytogenetic studies, the high-resolution (gene-by-gene) mapping of amplicon boundaries and the quantitative analysis of amplicon shape provide significant improvement in the localization of candidate oncogenes. Parallel microarray measurements of mRNA levels reveal the remarkable degree to which variation in gene copy number contributes to variation in gene expression in tumor cells. Specifically, we find that 62% of highly amplified genes show moderately or highly elevated expression, that DNA copy number influences gene expression across a wide range of DNA copy number alterations (deletion, low-, mid- and high-level amplification), that on average, a 2-fold change in DNA copy number is associated with a corresponding 1.5-fold change in mRNA levels, and that overall, at least 12% of all the variation in gene expression among the breast tumors is directly attributable to underlying variation in gene copy number. These findings provide evidence that widespread DNA copy number alteration can lead directly to global deregulation of gene expression, which may contribute to the development or progression of cancer.

Conventional cytogenetic techniques, including comparative genomic hybridization (CGH) (1), have led to the identification of a number of recurrent regions of DNA copy number alteration in breast cancer cell lines and tumors (2–4). While some of these regions contain known or candidate oncogenes [e.g., FGFR1 (8p11), MYC (8q24), CCND1 (11q13), ERBB2 (17q12), and ZNF217 (20q13)] and tumor suppressor genes [RB1 (13q14) and TP53 (17p13)], the relevant gene(s) within other regions (e.g., gain of 1q, 8q22, and 17q22–24, and loss of 8p) remain to be identified. A high-resolution genome-wide map, delineating the boundaries of DNA copy number alterations in tumors, should facilitate the localization and identification of oncogenes and tumor suppressor genes in breast cancer. In this study, we have created such a map, using array-based CGH (5–7) to profile DNA copy number alteration in a series of breast cancer cell lines and primary tumors.

An unresolved question is the extent to which the widespread DNA copy number changes that we and others have identified in breast tumors alter expression of genes within involved regions. Because we had measured mRNA levels in parallel in the same samples (8), using the same DNA microarrays, we had an opportunity to explore on a genomic scale the relationship between DNA copy number changes and gene expression. From

this analysis, we have identified a significant impact of widespread DNA copy number alteration on the transcriptional programs of breast tumors.

## Materials and Methods

**Tumors and Cell Lines.** Primary breast tumors were predominantly large (>3 cm), intermediate-grade, infiltrating ductal carcinomas, with more than 50% being lymph node positive. The fraction of tumor cells within specimens averaged at least 50%. Details of individual tumors have been published (8, 9), and are summarized in Table 1, which is published as supporting information on the PNAS web site, [www.pnas.org](http://www.pnas.org). Breast cancer cell lines were obtained from the American Type Culture Collection. Genomic DNA was isolated either using Qiagen genomic DNA columns, or by phenol/chloroform extraction followed by ethanol precipitation.

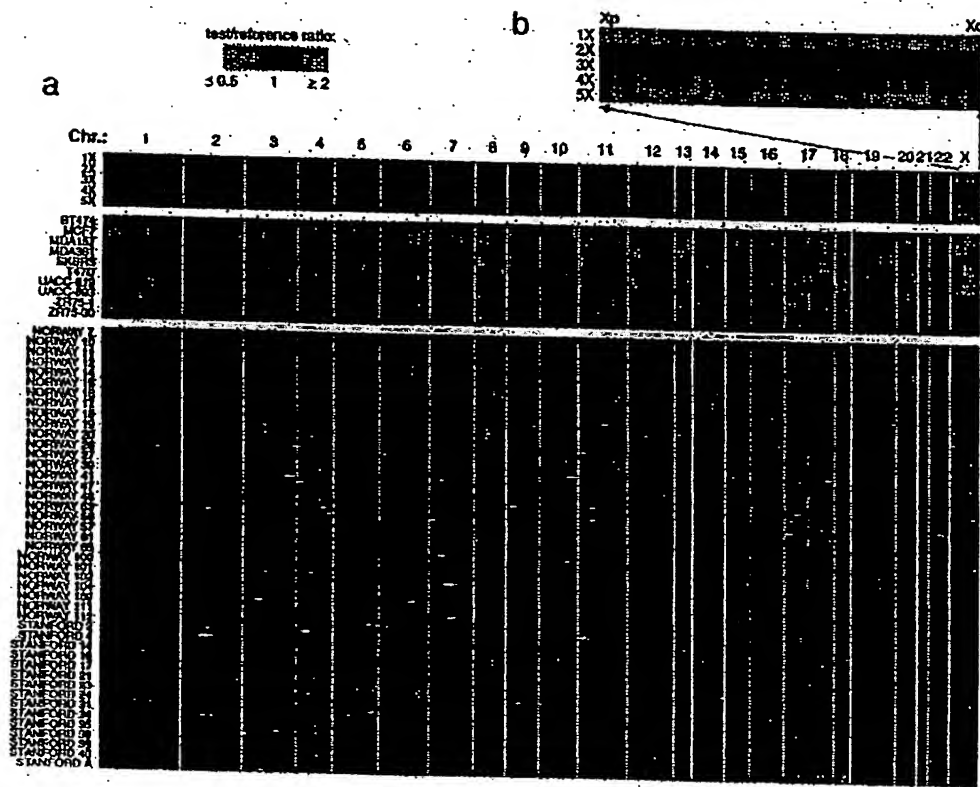
**DNA Labeling and Microarray Hybridizations.** Genomic DNA labeling and hybridizations were performed essentially as described in Pollack *et al.* (7), with slight modifications. Two micrograms of DNA was labeled in a total volume of 50 microliters and the volumes of all reagents were adjusted accordingly. "Test" DNA (from tumors and cell lines) was fluorescently labeled (Cy5) and hybridized to a human cDNA microarray containing 6,691 different mapped human genes (i.e., UniGene clusters). The "reference" (labeled with Cy3) for each hybridization was normal female leukocyte DNA from a single donor. The fabrication of cDNA microarrays and the labeling and hybridization of mRNA samples have been described (8).

**Data Analysis and Map Positions.** Hybridized arrays were scanned on a GenePix scanner (Axon Instruments, Foster City, CA), and fluorescence ratios (test/reference) calculated using SCANALYZE software (available at <http://rana.lbl.gov>). Fluorescence ratios were normalized for each array by setting the average log fluorescence ratio for all array elements equal to 0. Measurements with fluorescence intensities more than 20% above background were considered reliable. DNA copy number profiles that deviated significantly from background ratios measured in normal genomic DNA control hybridizations were interpreted as evidence of real DNA copy number alteration (see *Estimating Significance of Altered Fluorescence Ratios* in the supporting information). When indicated, DNA copy number profiles are displayed as a moving average (symmetric 5-nearest neighbors). Map positions for arrayed human cDNAs were assigned by

Abbreviation: CGH, comparative genomic hybridization.

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**Fig. 1.** Genome-wide measurement of DNA copy number alteration by array CGH. (a) DNA copy number profiles are illustrated for cell lines containing different numbers of X chromosomes, for breast cancer cell lines, and for breast tumors. Each row represents a different cell line or tumor, and each column represents one of 6,691 different mapped human genes present on the microarray, ordered by genome map position from 1pter through Xqter. Moving average (symmetric 5-nearest neighbors) fluorescence ratios (test/reference) are depicted using a log<sub>2</sub>-based pseudocolor scale (indicated), such that red luminescence reflects fold-amplification, green luminescence reflects fold-deletion, and black indicates no change (gray indicates poorly measured data). (b) Enlarged view of DNA copy number profiles across the X chromosome, shown for cell lines containing different numbers of X chromosomes.

identifying the starting position of the best and longest match of any DNA sequence represented in the corresponding UniGene cluster (10) against the "Golden Path" genome assembly (<http://genome.ucsc.edu/>; Oct 7, 2000 Freeze). For UniGene clusters represented by multiple arrayed elements, mean fluorescence ratios (for all elements representing the same UniGene cluster) are reported. For mRNA measurements, fluorescence ratios are "mean-centered" (i.e., reported relative to the mean ratio across the 44 tumor samples). The data set described here can be accessed in its entirety in the supporting information.

## Results

We performed CGH on 44 predominantly locally advanced, primary breast tumors and 10 breast cancer cell lines, using cDNA microarrays containing 6,691 different mapped human genes (Fig. 1a; also see *Materials and Methods* for details of microarray hybridizations). To take full advantage of the improved spatial resolution of array CGH, we ordered (fluorescence ratios for) the 6,691 cDNAs according to the "Golden Path" (<http://genome.ucsc.edu/>) genome assembly of the draft human genome sequences (11). In so doing, arrayed cDNAs not only themselves represent genes of potential interest (e.g., candidate oncogenes within amplicons), but also provide precise genetic landmarks for chromosomal regions of amplification and

deletion. Parallel analysis of DNA from cell lines containing different numbers of X chromosomes (Fig. 1b), as we did before (7), demonstrated the sensitivity of our method to detect single-copy loss (45, XO), and 1.5- (47, XXX), 2- (48, XXXX), or 2.5-fold (49, XXXXXX) gains (also see Fig. 5, which is published as supporting information on the PNAS web site). Fluorescence ratios were linearly proportional to copy number ratios, which were slightly underestimated, in agreement with previous observations (7). Numerous DNA copy number alterations were evident in both the breast cancer cell lines and primary tumors (Fig. 1a), detected in the tumors despite the presence of euploid non-tumor cell types; the magnitudes of the observed changes were generally lower in the tumor samples. DNA copy-number alterations were found in every cancer cell line and tumor, and on every human chromosome in at least one sample. Recurrent regions of DNA copy number gain and loss were readily identifiable. For example, gains within 1q, 8q, 17q, and 20q were observed in a high proportion of breast cancer cell lines/tumors (90%/69%, 100%/47%, 100%/60%, and 90%/44%, respectively), as were losses within 1p, 3p, 8p, and 13q (80%/24%, 80%/22%, 80%/22%, and 70%/18%, respectively), consistent with published cytogenetic studies (refs. 2-4; a complete listing of gains/losses is provided in Tables 2 and 3, which are published as supporting information on the PNAS web site). The total



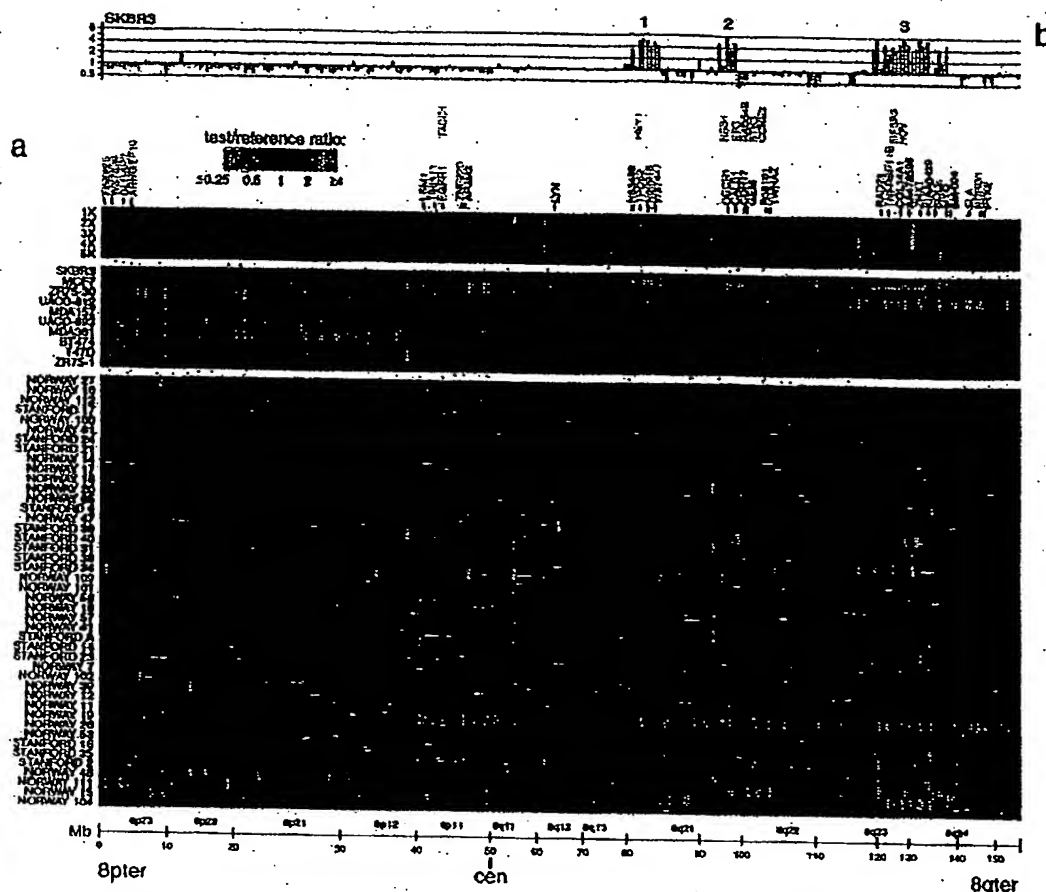


Fig. 2. DNA copy number alteration across chromosome 8 by array CGH. (a) DNA copy number profiles are illustrated for cell lines containing different numbers of X chromosomes, for breast cancer cell lines, and for breast tumors. Breast cancer cell lines and tumors are separately ordered by hierarchical clustering to highlight recurrent copy number changes. The 241 genes present on the microarrays and mapping to chromosome 8 are ordered by position along the chromosome. Fluorescence ratios (test/reference) are depicted by a log<sub>2</sub> pseudocolor scale (indicated). Selected genes are indicated with color-coded text (red, increased; green, decreased; black, no change; gray, not well measured) to reflect correspondingly altered mRNA levels (observed in the majority of the subset of samples displaying the DNA copy number change). The map positions for genes of interest that are not represented on the microarray are indicated in the row above those genes represented on the array. (b) Graphical display of DNA copy number profile for breast cancer cell line SKBR3. Fluorescence ratios (tumor/normal) are plotted on a log<sub>2</sub> scale for chromosome 8 genes, ordered along the chromosome.

number of genomic alterations (gains and losses) was found to be significantly higher in breast tumors that were high grade ( $P = 0.008$ ), consistent with published CGH data (3), estrogen receptor negative ( $P = 0.04$ ), and harboring TP53 mutations ( $P = 0.0006$ ) (see Table 4, which is published as supporting information on the PNAS web site).

The improved spatial resolution of our array CGH analysis is illustrated for chromosome 8, which displayed extensive DNA copy number alteration in our series. A detailed view of the variation in the copy number of 241 genes mapping to chromosome 8 revealed multiple regions of recurrent amplification; each of these potentially harbors a different known or previously uncharacterized oncogene (Fig. 2a). The complexity of amplicon structure is most easily appreciated in the breast cancer cell line SKBR3. Although a conventional CGH analysis of 8q in SKBR3 identified only two distinct regions of amplification (12), we observed three distinct regions of high-level amplification (labeled 1–3 in Fig. 2b). For each of these regions we can define the

boundaries of the interval recurrently amplified in the tumors we examined; in each case, known or plausible candidate oncogenes can be identified (a description of these regions, as well as the recurrently amplified regions on chromosomes 17 and 20, can be found in Figs. 6 and 7, which are published as supporting information on the PNAS web site).

For a subset of breast cancer cell lines and tumors (4 and 37, respectively), and a subset of arrayed genes (6,095), mRNA levels were quantitatively measured in parallel by using cDNA microarrays (8). The parallel assessment of mRNA levels is useful in the interpretation of DNA copy number changes. For example, the highly amplified genes that are also highly expressed are the strongest candidate oncogenes within an amplicon. Perhaps more significantly, our parallel analysis of DNA copy number changes and mRNA levels provides us the opportunity to assess the global impact of widespread DNA copy number alteration on gene expression in tumor cells.

A strong influence of DNA copy number on gene expression is evident in an examination of the pseudocolor representations



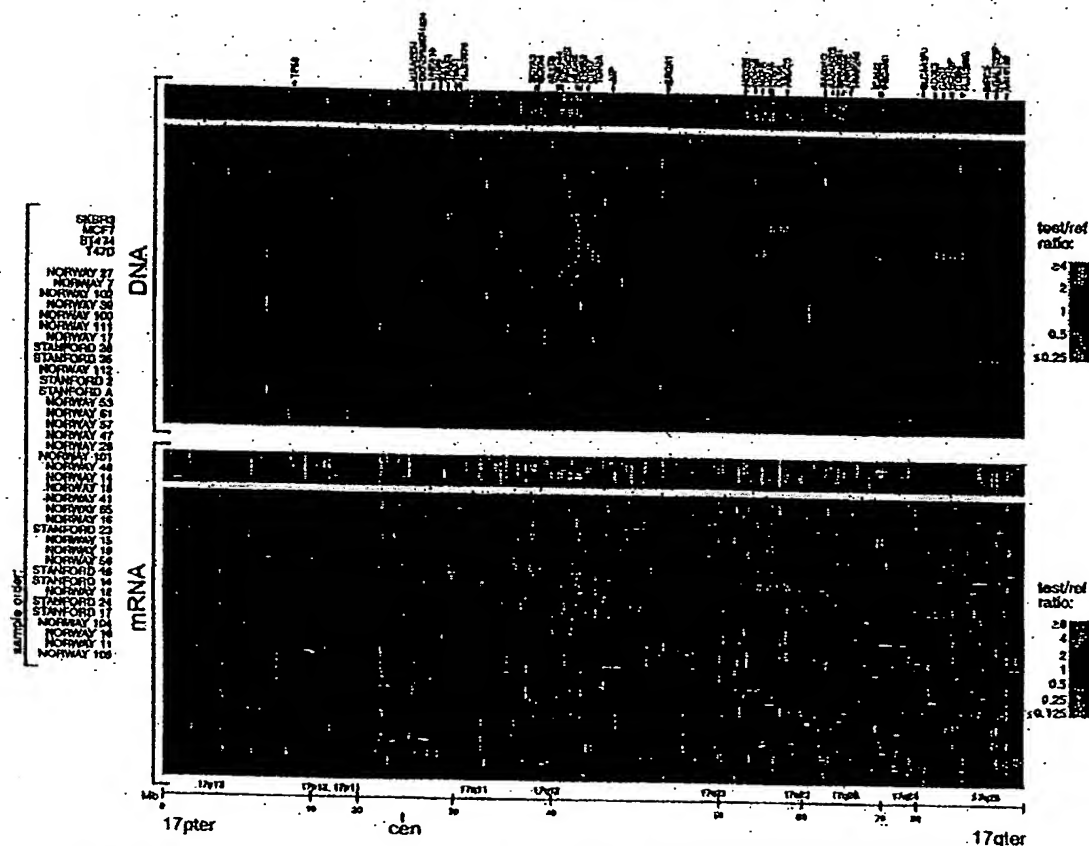


Fig. 3. Concordance between DNA copy number and gene expression across chromosome 17. DNA copy number alteration (Upper) and mRNA levels (Lower) are illustrated for breast cancer cell lines and tumors. Breast cancer cell lines and tumors are separately ordered by hierarchical clustering (Upper), and the identical sample order is maintained (Lower). The 354 genes present on the microarrays and mapping to chromosome 17, and for which both DNA copy number and mRNA levels were determined, are ordered by position along the chromosome; selected genes are indicated in color-coded text (see Fig. 2 legend). Fluorescence ratios (test/reference) are depicted by separate log<sub>2</sub> pseudocolor scales (Indicated).

of DNA copy number and mRNA levels for genes on chromosome 17 (Fig. 3). The overall patterns of gene amplification and elevated gene expression are quite concordant; i.e., a significant fraction of highly amplified genes appear to be correspondingly highly expressed. The concordance between high-level amplification and increased gene expression is not restricted to chromosome 17. Genome-wide, of 117 high-level DNA amplifications (fluorescence ratios  $>4$ , and representing 91 different genes), 62% (representing 54 different genes; see Table 5, which is published as supporting information on the PNAS web site) are found associated with at least moderately elevated mRNA levels (mean-centered fluorescence ratios  $>2$ ), and 42% (representing 36 different genes) are found associated with comparably highly elevated mRNA levels (mean-centered fluorescence ratios  $>4$ ).

To determine the extent to which DNA deletion and lower-level amplification (in addition to high-level amplification) are also associated with corresponding alterations in mRNA levels, we performed three separate analyses on the complete data set (4 cell lines and 37 tumors, across 6,095 genes). First, we determined the average mRNA levels for each of five classes of genes, representing DNA deletion, no change, and low-, medium-, and high-level amplification (Fig. 4a). For both the

breast cancer cell lines and tumors, average mRNA levels tracked with DNA copy number across all five classes, in a statistically significant fashion ( $P$  values for pair-wise Student's  $t$  tests comparing adjacent classes: cell lines,  $4 \times 10^{-49}$ ,  $1 \times 10^{-49}$ ,  $5 \times 10^{-5}$ ,  $1 \times 10^{-2}$ ; tumors,  $1 \times 10^{-43}$ ,  $1 \times 10^{-214}$ ,  $5 \times 10^{-41}$ ,  $1 \times 10^{-4}$ ). A linear regression of the average log(DNA copy number), for each class, against average log(mRNA level) demonstrated that on average, a 2-fold change in DNA copy number was accompanied by 1.4- and 1.5-fold changes in mRNA level for the breast cancer cell lines and tumors, respectively (Fig. 4a, regression line not shown). Second, we characterized the distribution of the 6,095 correlations between DNA copy number and mRNA level, each across the 37 tumor samples (Fig. 4b). The distribution of correlations forms a normal-shaped curve, but with the peak markedly shifted in the positive direction from zero. This shift is statistically significant, as evidenced in a plot of observed vs. expected correlations (Fig. 4c), and reflects a pervasive global influence of DNA copy number alterations on gene expression. Notably, the highest correlations between DNA copy number and mRNA level (the right tail of the distribution in Fig. 4b) comprise both amplified and deleted genes (data not shown). Third, we used a linear regression model to estimate the fraction of all variation measured in mRNA levels among the 37

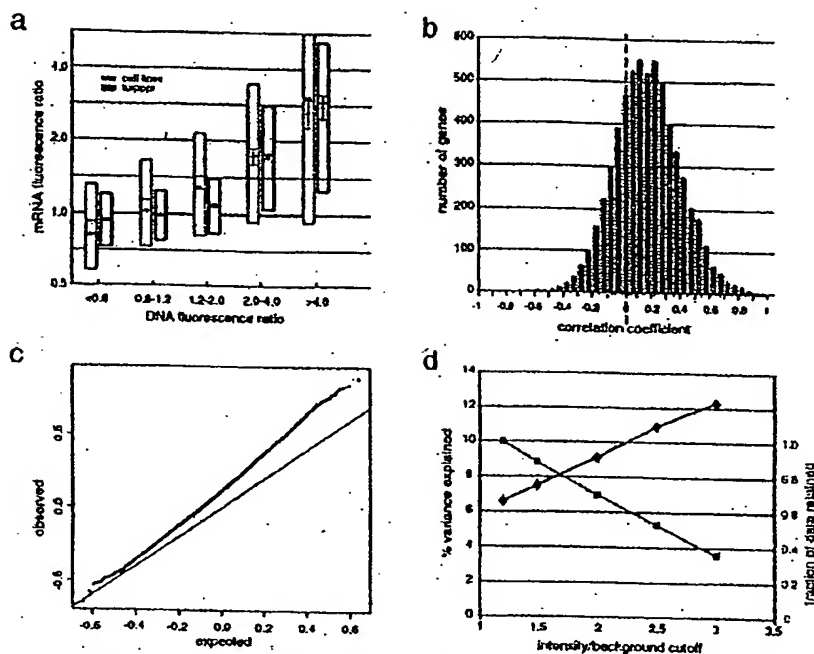


Fig. 4. Genome-wide influence of DNA copy number alterations on mRNA levels: (a) For breast cancer cell lines (gray) and tumor samples (black), both mean-centered mRNA fluorescence ratio ( $\log_2$  scale) quartiles (box plots indicate 25th, 50th, and 75th percentile) and averages (diamonds; Y-value error bars indicate standard errors of the mean) are plotted for each of five classes of genes, representing DNA deletion (tumor/normal ratio  $< 0.8$ ), no change ( $0.8-1.2$ ), low- ( $1.2-2$ ), medium- ( $2-4$ ), and high-level ( $>4$ ) amplification. P values for pair-wise Student's t tests, comparing averages between adjacent classes (moving left to right), are  $4 \times 10^{-43}$ ,  $1 \times 10^{-49}$ ,  $5 \times 10^{-3}$ ,  $1 \times 10^{-3}$  (cell lines), and  $1 \times 10^{-43}$ ,  $1 \times 10^{-214}$ ,  $5 \times 10^{-41}$ ,  $1 \times 10^{-4}$  (tumors). (b) Distribution of correlations between DNA copy number and mRNA levels, for 6,095 different human genes across 37 breast tumor samples. The expected values were obtained by randomization of the sample labels in the DNA copy number data set. (c) Plot of observed versus expected correlation coefficients. The expected values were obtained by randomization of the sample labels in the DNA copy number data set. The line of unity is indicated. (d) Percent variance in gene expression (among tumors) directly explained by variation in gene copy number. Percent variance explained (black line) and fraction of data retained (gray line) are plotted for different fluorescence intensity/background (a rough surrogate for signal/noise) cutoff values. Fraction of data retained is relative to the 1.2 intensity/background cutoff. Details of the linear regression model used to estimate the fraction of variation in gene expression attributable to underlying DNA copy number alteration can be found in the supporting information (see Estimating the Fraction of Variation in Gene Expression Attributable to Underlying DNA Copy Number Alteration).

tumors that could be attributed to underlying variation in DNA copy number. From this analysis, we estimate that, overall, about 7% of all of the observed variation in mRNA levels can be explained directly by variation in copy number of the altered genes (Fig. 4d). We can reduce the effects of experimental measurement error on this estimate by using only that fraction of the data most reliably measured (fluorescence intensity/background  $> 3$ ); using that data, our estimate of the percent variation in mRNA levels directly attributed to variation in gene copy number increases to 12% (Fig. 4d). This still undoubtedly represents a significant underestimate, as the observed variation in global gene expression is affected not only by true variation in the expression programs of the tumor cells themselves, but also by the variable presence of non-tumor cell types within clinical samples.

#### Discussion

This genome-wide, array CGH analysis of DNA copy number alteration in a series of human breast tumors demonstrates the usefulness of defining amplicon boundaries at high resolution (gene-by-gene), and quantitatively measuring amplicon shape, to assist in locating and identifying candidate oncogenes. By analyzing mRNA levels in parallel, we have also discovered that changes in DNA copy number have a large, pervasive, direct effect on global gene expression patterns in both breast cancer

cell lines and tumors. Although the DNA microarrays used in our analysis may display a bias toward characterized and/or highly expressed genes, because we are examining such a large fraction of the genome (approximately 20% of all human genes), and because, as detailed above, we are likely underestimating the contribution of DNA copy number changes to altered gene expression, we believe our findings are likely to be generalizable (but would nevertheless still be remarkable if only applicable to this set of ~6,100 genes).

In budding yeast, aneuploidy has been shown to result in chromosome-wide gene expression biases (13). Two recent studies have begun to examine the global relationship between DNA copy number and gene expression in cancer cells. In agreement with our findings, Phillips *et al.* (14) have shown that with the acquisition of tumorigenicity in an immortalized prostate epithelial cell line, new chromosomal gains and losses resulted in a statistically significant respective increase and decrease in the average expression level of involved genes. In contrast, Platzer *et al.* (15) recently reported that in metastatic colon tumors only ~4% of genes within amplified regions were found more highly ( $> 2$ -fold) expressed, when compared with normal colonic epithelium. This report differs substantially from our finding that 62% of highly amplified genes in breast cancer exhibit at least 2-fold increased expression. These contrasting findings may reflect methodological differences between the

studies. For example, the study of Platzer *et al.* (15) may have systematically under-measured gene expression changes. In this regard it is remarkable that only 14 transcripts of many thousands residing within unamplified chromosomal regions were found to exhibit at least 4-fold altered expression in metastatic colon cancer. Additionally, their reliance on lower-resolution chromosomal CGH may have resulted in poorly delimiting the boundaries of high-complexity amplicons, effectively overcalling regions with amplification. Alternatively, the contrasting findings for amplified genes may represent real biological differences between breast and metastatic colon tumors; resolution of this issue will require further studies.

Our finding that widespread DNA copy number alteration has a large, pervasive and direct effect on global gene expression patterns in breast cancer has several important implications. First, this finding supports a high degree of copy number-dependent gene expression in tumors. Second, it suggests that most genes are not subject to specific autoregulation or dosage compensation. Third, this finding cautions that elevated expression of an amplified gene cannot alone be considered strong independent evidence of a candidate oncogene's role in tumorigenesis. In our study, fully 62% of highly amplified genes demonstrated moderately or highly elevated expression. This highlights the importance of high-resolution mapping of amplicon boundaries and shape (to identify the "driving" gene(s) within amplicons (16)), on a large number of samples, in addition to functional studies. Fourth, this finding suggests that analyzing

the genomic distribution of expressed genes, even within existing microarray gene expression data sets, may permit the inference of DNA copy number aberration, particularly aneuploidy (where gene expression can be averaged across large chromosomal regions; see Fig. 3 and supporting information). Fifth, this finding implies that a substantial portion of the phenotypic uniqueness (and by extension, the heterogeneity in clinical behavior) among patients' tumors may be traceable to underlying variation in DNA copy number. Sixth, this finding supports a possible role for widespread DNA copy number alteration in tumorigenesis (17, 18), beyond the amplification of specific oncogenes and deletion of specific tumor suppressor genes. Widespread DNA copy number alteration, and the concomitant widespread imbalance in gene expression, might disrupt critical stoichiometric relationships in cell metabolism and physiology (e.g., proteasome, mitotic spindle), possibly promoting further chromosomal instability and directly contributing to tumor development or progression. Finally, our findings suggest the possibility of cancer therapies that exploit specific or global imbalances in gene expression in cancer.

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**EXHIBIT 7**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Ashkenazi et al.  
App. No. : 09/903,925  
Filed : July 11, 2001  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
Examiner : Hamud, Fozia M

Group Art Unit 1647

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner of Patents, Washington D.C. 20231 on:

(Date)

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**DECLARATION OF AVI ASHKENAZI, Ph.D UNDER 37 C.F.R. § 1.132**

I, Avi Ashkenazi, Ph.D. declare and say as follows: -

1. I am Director and Staff Scientist at the Molecular Oncology Department of Genentech, Inc., South San Francisco, CA 94080.
2. I joined Genentech in 1988 as a postdoctoral fellow. Since then, I have investigated a variety of cellular signal transduction mechanisms, including apoptosis, and have developed technologies to modulate such mechanisms as a means of therapeutic intervention in cancer and autoimmune disease. I am currently involved in the investigation of a series of secreted proteins over-expressed in tumors, with the aim to identify useful targets for the development of therapeutic antibodies for cancer treatment.
3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
4. Gene amplification is a process in which chromosomes undergo changes to contain multiple copies of certain genes that normally exist as a single copy, and is an important factor in the pathophysiology of cancer. Amplification of certain genes (e.g., Myc or Her2/Neu)

gives cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy.

5. If gene amplification results in over-expression of the mRNA and the corresponding gene product, then it identifies that gene product as a promising target for cancer therapy, for example by the therapeutic antibody approach. Even in the absence of over-expression of the gene product, amplification of a cancer marker gene - as detected, for example, by the reverse transcriptase TaqMan<sup>®</sup> PCR or the fluorescence *in situ* hybridization (FISH) assays - is useful in the diagnosis or classification of cancer, or in predicting or monitoring the efficacy of cancer therapy. An increase in gene copy number can result not only from intrachromosomal changes but also from chromosomal aneuploidy. It is important to understand that detection of gene amplification can be used for cancer diagnosis even if the determination includes measurement of chromosomal aneuploidy. Indeed, as long as a significant difference relative to normal tissue is detected, it is irrelevant if the signal originates from an increase in the number of gene copies per chromosome and/or an abnormal number of chromosomes.

6. I understand that according to the Patent Office, absent data demonstrating that the increased copy number of a gene in certain types of cancer leads to increased expression of its product, gene amplification data are insufficient to provide substantial utility or well established utility for the gene product (the encoded polypeptide), or an antibody specifically binding the encoded polypeptide. However, even when amplification of a cancer marker gene does not result in significant over-expression of the corresponding gene product, this very absence of gene product over-expression still provides significant information for cancer diagnosis and treatment. Thus, if over-expression of the gene product does not parallel gene amplification in certain tumor types but does so in others, then parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified but the corresponding gene product is not over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so

made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By: Avi Ashkenazi  
Avi Ashkenazi, Ph.D.

Date: 9/15/03

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9/12/03 3:06 PM (39780.7000)

## **CURRICULUM VITAE**

**Avi Ashkenazi**

July 2003

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1986: Ph.D. in Biochemistry, Hebrew University, Israel

### **Employment:**

1983-1986: Teaching assistant, undergraduate level course in Biochemistry  
1985-1986: Teaching assistant, graduate level course on Signal Transduction  
1986 - 1988: Postdoctoral fellow, Hormone Research Dept., UCSF, and  
Developmental Biology Dept., Genentech, Inc., with J. Ramachandran  
1988 - 1989: Postdoctoral fellow, Molecular Biology Dept., Genentech, Inc.,  
with D. Capon  
1989 - 1993: Scientist, Molecular Biology Dept., Genentech, Inc.  
1994 - 1996: Senior Scientist, Molecular Oncology Dept., Genentech, Inc.  
1996-1997: Senior Scientist and Interim director, Molecular Oncology Dept.,  
Genentech, Inc.  
1997-1999: Senior Scientist and preclinical project team leader, Genentech, Inc.  
1999 - 2002: Staff Scientist in Molecular Oncology, Genentech, Inc.  
2002-present: Staff Scientist and Director in Molecular Oncology, Genentech, Inc.

### **Awards:**

1988: First prize, The Boehringer Ingelheim Award

### Editorial:

Editorial Board Member: Current Biology

Associate Editor, Clinical Cancer Research.

Associate Editor, Cancer Biology and Therapy.

### Refereed papers:

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2. Use of immuno-hybrids to extend the half-life of receptors. IBC conference on Biopharmaceutical Half-life Extension. New Orleans, LA, June 1992.
3. Results with TNF receptor Immunoadhesins for the Treatment of Sepsis. IBC conference on Endotoxemia and Sepsis. Philadelphia, PA, June 1992.
4. Immunoadhesins: an alternative to human antibodies. IBC conference on Antibody Engineering. San Diego, CA, December 1993.
5. Tumor necrosis factor receptor: a potential therapeutic for human septic shock. American Society for Microbiology Meeting, Atlanta, GA, May 1993.
6. Protective efficacy of TNF receptor immunoadhesin vs anti-TNF monoclonal antibody in a rat model for endotoxic shock. 5th International Congress on TNF. Asilomar, CA, May 1994.
7. Interferon- $\gamma$  signals via a multisubunit receptor complex that contains two types of polypeptide chain. American Association of Immunologists Conference. San Francisco, CA, July 1995.
8. Immunoadhesins: Principles and Applications. Gordon Research Conference on Drug Delivery in Biology and Medicine. Ventura, CA, February 1996.



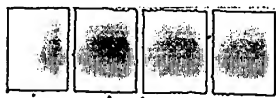
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10. Induction of apoptosis by Apo2 Ligand. American Society for Biochemistry and Molecular Biology, Symposium on Growth Factors and Cytokine Receptors. New Orleans, LA, June, 1996.
11. Apo2 ligand, an extracellular trigger of apoptosis. 2nd Clontech Symposium, Palo Alto, CA, October 1996.
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14. New members of the TNF ligand and receptor families that regulate apoptosis, inflammation, and immunity. UCLA School of Medicine, LA, CA, March 1997.
15. Immunoadhesins: an alternative to monoclonal antibodies. 5th World Conference on Bispecific Antibodies. Volendam, Holland, June 1997.
16. Control of Apo2L signaling. Cold Spring Harbor Laboratory Symposium on Programmed Cell Death. Cold Spring Harbor, New York. September, 1997.
17. Chairman and speaker, Apoptosis Signaling session. IBC's 4th Annual Conference on Apoptosis. San Diego, CA., October 1997.
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21. Apo2L as a potential therapeutic for cancer. UCLA School of Medicine. LA, CA, June 1998.
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40. Death receptors: signaling and modulation. Keystone symposium on the Molecular basis of cancer. Taos, NM, Jan 2001.
41. Preclinical studies of Apo2L/TRAIL in cancer. Symposium on Targeted therapies in the treatment of lung cancer. Aspen, CO, Jan 2001.

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46. Apo2L/TRAIL signaling and apoptosis resistance mechanisms. Gordon Research Conference on Apoptosis, Oxford, UK, July 2001.
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49. Apoptosis signaling by death receptors. American Society of Nephrology Conference. San Francisco, CA, Oct 2001.
50. Targeting death receptors in cancer. Apoptosis: commercial opportunities. San Diego, CA, Apr 2002.
51. Apo2L/TRAIL signaling and apoptosis resistance mechanisms. Kimmel Cancer Research Center, Johns Hopkins University, Baltimore MD. May 2002.
52. Apoptosis control by Apo2L/TRAIL. (Keynote Address) University of Alabama Cancer Center Retreat, Birmingham, Ab. October 2002.
53. Apoptosis signaling by Apo2L/TRAIL. (Session co-chair) TNF international conference. San Diego, CA, October 2002.
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**Issued Patents:**

1. Ashkenazi, A., Chamow, S. and Kogan, T. Carbohydrate-directed crosslinking reagents. US patent 5,329,028 (Jul 12, 1994).
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# TECHNICAL UPDATE

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## HER-2/neu Breast Cancer Predictive Testing

Julie Sanford Hanna, Ph.D. and Dan Mornin, M.D.

EACH YEAR, OVER 182,000 WOMEN in the United States are diagnosed with breast cancer, and approximately 45,000 die of the disease.<sup>1</sup> Incidence appears to be increasing in the United States at a rate of roughly 2% per year. The reasons for the increase are unclear, but non-genetic risk factors appear to play a large role.<sup>2</sup>

Five-year survival rates range from approximately 65%-85%, depending on demographic group, with a significant percentage of women experiencing recurrence of their cancer within 10 years of diagnosis. One of the factors most predictive for recurrence once a diagnosis of breast cancer has been made is the number of axillary lymph nodes to which tumor has metastasized. Most node-positive women are given adjuvant therapy, which increases their survival. However, 20%-30% of patients without axillary node involvement also develop recurrent disease, and the difficulty lies in how to identify this high-risk subset of patients. These patients could benefit from increased surveillance, early intervention, and treatment.

Prognostic markers currently used in breast cancer recurrence prediction include tumor size, histological grade, steroid hormone receptor status, DNA ploidy, proliferative index, and cathepsin D status. Expression of growth factor receptors and over-expression of the HER-2/neu oncogene have also been identified as having value regarding treatment regimen and prognosis.

HER-2/neu (also known as c-erbB2) is an oncogene that encodes a transmembrane glycoprotein that is homologous to, but distinct from, the epidermal growth factor receptor. Numerous studies have indicated that high levels of expression of this protein are associated with rapid tumor growth, certain forms of therapy resistance, and shorter disease-free survival. The gene has been shown to be amplified and/or overexpressed in 10%-30% of invasive breast cancers and in 40%-60% of intraductal breast carcinoma.<sup>3</sup>

There are two distinct FDA-approved methods by which HER-2/neu status can be evaluated: immunohistochemistry (IHC, HercepTest™) and FISH (fluorescent in situ hybridization, PathVysion™ Kit). Both methods can be performed on archived and current specimens. The first method allows visual assessment of the amount of HER-2/neu protein present on the cell membrane. The latter method allows direct quantification of the level of gene amplification present in the tumor, enabling differentiation between low- versus high-amplification. At least one study has demonstrated a difference in

recurrence risk in women younger than 40 years of age for low- versus high-amplified tumors (54.5% compared to 83.7%); this is compared to a recurrence rate of 16.7% for patients with no HER-2/neu gene amplification.<sup>4</sup> HER-2/neu status may be particularly important to establish in women with small ( $\leq 1$  cm) tumor size.

The choice of methodology for determination of HER-2/neu status depends in part on the clinical setting. FDA approval for the Vysis FISH test was granted based on clinical trials involving 1349 node-positive patients. Patients received one of three different treatments consisting of different doses of cyclophosphamide, Adriamycin, and 5-fluorouracil (CAF). The study showed that patients with amplified HER-2/neu benefited from treatment with higher doses of adriamycin-based therapy, while those with normal HER-2/neu levels did not. The study therefore identified a sub-set of women, who because they did not benefit from more aggressive treatment, did not need to be exposed to the associated side effects. In addition, other evidence indicates that HER-2/neu amplification in node-negative patients can be used as an independent prognostic indicator for early recurrence, recurrent disease at any time and disease-related death.<sup>5</sup> Demonstration of HER-2/neu gene amplification by FISH has also been shown to be of value in predicting response to chemotherapy in stage-2 breast cancer patients.

Selection of patients for Herceptin® (Trastuzumab) monoclonal antibody therapy, however, is based upon demonstration of HER-2/neu protein overexpression using HercepTest™. Studies using Herceptin® in patients with metastatic breast cancer show an increase in time to disease progression, increased response rate to chemotherapeutic agents and a small increase in overall survival rate. The FISH assays have not yet been approved for this purpose, and studies looking at response to Herceptin® in patients with or without gene amplification status determined by FISH are in progress.

In general, FISH and IHC results correlate well. However, subsets of tumors are found which show discordant results; i.e., protein overexpression without gene amplification or lack of protein overexpression with gene amplification. The clinical significance of such results is unclear. Based on the above considerations, HER-2/neu testing at SHMC/PAML will utilize immunohistochemistry (HercepTest®) as a screen, followed by FISH in IHC-negative cases. Alternatively, either method may be ordered individually depending on the clinical setting or clinician preference.

## CPT code information

### HER-2/neu via IHC

88342 (including interpretive report)

### HER-2/neu via FISH

88271x2 Molecular cytogenetics, DNA probe, each

88274 Molecular cytogenetics, interphase in situ hybridization, analyze 25-99 cells

88291 Cytogenetics and molecular cytogenetics, interpretation and report

## Procedural Information

Immunohistochemistry is performed using the FDA-approved DAKO antibody kit, Herceptest<sup>®</sup>. The DAKO kit contains reagents required to complete a two-step immunohistochemical staining procedure for routinely processed, paraffin-embedded specimens. Following incubation with the primary rabbit antibody to human HER-2/neu protein, the kit employs a ready-to-use dextran-based visualization reagent. This reagent consists of both secondary goat anti-rabbit antibody molecules with horseradish peroxidase molecules linked to a common dextran polymer backbone, thus eliminating the need for sequential application of link antibody and peroxidase conjugated antibody. Enzymatic conversion of the subsequently added chromogen results in formation of visible reaction product at the antigen site. The specimen is then counterstained; a pathologist using light-microscopy interprets results.

FISH analysis at SHMC/PAML is performed using the FDA-approved PathVysion<sup>™</sup> HER-2/neu DNA probe kit, produced by Vysis, Inc. Formalin fixed, paraffin-embedded breast tissue is processed using routine histological methods, and then slides are treated to allow hybridization of DNA probes to the nuclei present in the tissue section. The PathVysion<sup>™</sup> kit contains two direct-labeled DNA probes, one specific for the alphoid repetitive DNA (CEP 17, spectrum orange) present at the chromosome 17 centromere and the second for the HER-2/neu oncogene located at 17q11.2-12 (spectrum green). Enumeration of the probes allows a ratio of the number of copies of chromosome 17 to the number of copies of HER-2/neu to be obtained; this enables quantification of low versus high amplification levels, and allows an estimate of the percentage of cells with HER-2/neu gene amplification. The clinically relevant distinction is whether the gene amplification is due to increased gene copy number on the two chromosome 17 homologues normally present or an increase in the number of chromosome 17s in the cells. In the majority of cases, ratio equivalents less than 2.0 are indicative of a normal/negative result, ratios of 2.1 and over indicate that amplification is present and to what degree. Interpretation of this data will be performed and reported from the Vysis-certified Cytogenetics laboratory at SHMC.

## References

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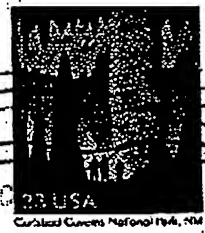
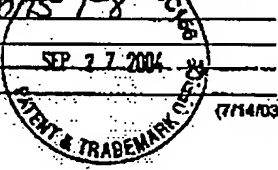
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UTILITY/DESIGN PATENT  
(amend/final amend/appeal)

Date: 9/24/04  
Date of Action: 6/25/04

Rec'd in the USPTO on the date stamped hereon via Certificate of Mail:  
Docket #: CAIE 3230K1C55 Applicant: Goldman, et al.  
Title: Secreted and transmembrane Polypeptides  
App No.: 10/063,581 Filed: 01 May 3, 2002  
VERIFIED BY: Asst: BAAT Atty: HTM/MTM OS, CPT

- ☒ Transmittal Letter
- ☒ Amendment in 22 pgs
- ☐ Month Extension Requested
- ☒ Information Disclosure Statement, with PTO-1449 w/ 1 Ref(s) not enclosed
- ☐ Terminal Disclaimer in      pgs
- ☐ Sequence Submission Statement
- ☐ Sequence Listing in      pgs
- ☐      copies of CRF Containing Seq List
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- ☒ \$ 130 Check for Filing Fees
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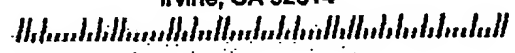
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| APPLICATION NO.  | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.       | CONFIRMATION NO. |
|--|-------------|----------------------|---------------------------|------------------|
| 10/063,581   | 05/03/2002  | Dan L. Eaton         | P3230R1C001-168           | 2389             |
| 30313  | 7590        | 06/15/2005           | EXAMINER<br>CHANDRA, GYAN |                  |
| KNOBBE, MARTENS, OLSON & BEAR, LLP<br>2040 MAIN STREET<br>IRVINE, CA 92614 |             |                      | ART UNIT<br>1646          |                  |
| PAPER NUMBER   |             |                      |                           |                  |

DATE MAILED: 06/15/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

# Notice of Abandonment

Application No.

10/063,581

Examiner

Gyan Chandra

Applicant(s)

EATON ET AL.

Art Unit

1646

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

This application is abandoned in view of:

1. ☒ Applicant's failure to timely file a proper reply to the Office letter mailed on 25 June 2004.
  - (a) ☐ A reply was received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the period for reply (including a total extension of time of \_\_\_\_\_ month(s)) which expired on \_\_\_\_\_.
  - (b) ☐ A proposed reply was received on \_\_\_\_\_, but it does not constitute a proper reply under 37 CFR 1.113 (a) to the final rejection.  
(A proper reply under 37 CFR 1.113 to a final rejection consists only of: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114).
  - (c) ☐ A reply was received on \_\_\_\_\_ but it does not constitute a proper reply, or a bona fide attempt at a proper reply, to the non-final rejection. See 37 CFR 1.85(a) and 1.111. (See explanation in box 7 below).
  - (d) ☒ No reply has been received.
2. ☐ Applicant's failure to timely pay the required issue fee and publication fee, if applicable, within the statutory period of three months from the mailing date of the Notice of Allowance (PTOL-85).
  - (a) ☐ The issue fee and publication fee, if applicable, was received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the statutory period for payment of the issue fee (and publication fee) set in the Notice of Allowance (PTOL-85).
  - (b) ☐ The submitted fee of \$\_\_\_\_\_ is insufficient. A balance of \$\_\_\_\_\_ is due.  
The issue fee required by 37 CFR 1.18 is \$\_\_\_\_\_. The publication fee, if required by 37 CFR 1.18(d), is \$\_\_\_\_\_.
  - (c) ☐ The issue fee and publication fee, if applicable, has not been received.
3. ☐ Applicant's failure to timely file corrected drawings as required by, and within the three-month period set in, the Notice of Allowability (PTO-37).
  - (a) ☐ Proposed corrected drawings were received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the period for reply.
  - (b) ☐ No corrected drawings have been received.
4. ☐ The letter of express abandonment which is signed by the attorney or agent of record, the assignee of the entire interest, or all of the applicants.
5. ☐ The letter of express abandonment which is signed by an attorney or agent (acting in a representative capacity under 37 CFR 1.34(a)) upon the filing of a continuing application.
6. ☐ The decision by the Board of Patent Appeals and Interference rendered on \_\_\_\_\_ and because the period for seeking court review of the decision has expired and there are no allowed claims.
7. ☐ The reason(s) below:

  
JANET A. RIMES  
RIMAR

Petitions to revive under 37 CFR 1.137(a) or (b), or requests to withdraw the holding of abandonment under 37 CFR 1.181, should be promptly filed to minimize any negative effects on patent term.

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